

UCD Code of Responsible Conduct of Research



Policy owner UCD Research & Innovation **Approval date and body** Governing Authority, 14th December 2023

1. Purpose

The purpose of this code is to collate all of the UCD policies and procedures that govern the research process and which collectively support an environment of responsible conduct of research.

2. Principles

This code is underpinned by the following principles:

- The University commits to the fundamental principles of academic freedom in line with the Universities Act, 1997 under Section 14, and the UCD Statement on Academic Freedom.
- The University promotes an environment which maintains the highest standards of integrity in relation to its educational mission and research activity.
- The University will establish clear policies and procedures which cover the principles of responsible conduct of research and will ensure that these policies and procedures complement and are in accordance with existing organisational policies.
- The academic units and core support units will support the research community at all stages of the research process.
- All those engaged with research in UCD, including all researchers, students, technical, administrative and research support staff:
 - maintain the highest standards of rigour and integrity in all aspects of research; and
 - ensure that research is conducted according to appropriate ethical, legal and professional obligations and standards.

3. Scope

The scope for each individual policy referenced below, is defined within each policy.

4. Roles and Responsibilities

UCD commits to:

- supporting a research environment that is underpinned by a culture of integrity and based on good governance, best practice and support for the development of researchers;
- ensuring that readily accessible policies, procedures and systems are in place to support and reinforce the responsible conduct of research;
- ensuring that these policies and procedures complement and are in accordance with other relevant UCD policies;

- providing training, resources and support to UCD researchers to ensure that they are aware of their obligations in respect of these policies and procedures and are able to comply with them; and
- monitoring these measures for suitability and effectiveness and reviewing them where necessary.

UCD Researchers should:

- recognise their responsibility to conduct research of high ethical standards;
- be aware UCD's policies and procedures on responsible conduct of research;
- make sure that their research complies with these policies and procedures, and seek guidance from UCD when necessary;
- work with UCD to ensure that they have the necessary training, resources and support to comply with their responsible conduct of research obligations; and
- suggest to UCD how guidance on responsible conduct of research might be developed or revised.

5. Responsible Conduct of Research

All UCD researchers should be familiar with and adhere to the UCD policies and procedures that govern the research process, as well as the other institutional policies of the University. These policies are referenced throughout this document and the most recent versions can be accessed from the [UCD Governance Document Library](#).

Further, researchers must adhere to the terms and conditions of the funding agency/sponsor with regard to any award being made for funded research activity. The research grant provides a written agreement to conduct research activity in return for approved funding and is made between the funding agency/sponsor and the University. The University is accountable for managing the invested funds associated with research activity through its academic units and academic staff. It does this by devolving responsibility of management of these funds to the academic units and the lead researcher, who is charged with managing the programmatic and financial viability of the proposed research activity.

5.1 *Research Integrity*

UCD is committed to the promotion of an environment which maintains the highest standards of integrity in relation to its educational mission and research activity. It is University policy that UCD researchers maintain the highest standards of rigour and integrity in all aspects of research and ensure that research is conducted according to appropriate ethical, legal and professional obligations and standards. The University's **Research Integrity Policy** provides detailed guidance on this matter.

It is imperative that when an allegation of research misconduct arises, suitable procedures are in place to deal with it effectively and fairly. UCD has a responsibility to the researchers it employs, and there needs to be appropriate protection for the rights and interests of all parties. The University's **Procedure for the Investigation of Misconduct in Research** outlines the procedure to be used to manage allegations of research misconduct within UCD.

5.2 *Research Ethics*

All research that involves either human or animal subjects carried out by UCD researchers requires either full ethical review or an exemption from full ethical review. The University's **Research Ethics Policy** and associated Committee guidelines provide detailed guidance on this matter. The Policy is

applicable to all UCD researchers and should be read in tandem with the UCD **Code of Good Practice in Research with Humans and Animals** and the **REC Operating Procedures**.

5.3 Employee Code of Conduct

The **Employee Code of Conduct Policy** collates the UCD policies and procedures governing employee conduct to ensure that all employees are familiar with and can adhere to UCD policies and procedures that are relevant to required standards of conduct.

5.4 Research Data Management

The UCD **Research Data Management (RDM) Policy** provides a framework for the management of research data to ensure that research data is stored, retained, made available for use and reuse, and disposed of according to best international practices for data management, as well as in compliance with legal, statutory, ethical, contractual and intellectual property obligations, and the requirements of funding bodies and publishers.

5.5 Policy for Supervision of Research Degree Students

The University is committed to achieving the highest standards of excellence in the research training, professional development and supervision of research students and expects all relevant parties to adhere to the core principles [outlined in the Policy]. The UCD **Policy for Supervision of Research Degree Students**, outlines each party's roles and responsibilities governing the professional relationships between supervisor(s) and students. The policy is applicable to all research degree programmes and is supplementary to the UCD Academic Regulations.

5.6 Funded Research Activity

The UCD **Funded Research Activity Policy** provides guidance on the roles and responsibilities of both the organisation and individual researchers carrying out funded research projects at UCD. This includes detailed guidance on UCD Researchers' responsibilities in preparing proposals, as well as the eligibility of UCD Researchers to register and manage research accounts on the UCD financial system.

5.7 Intellectual Property

UCD supports excellence in innovation by encouraging UCD Researchers to develop world-class Intellectual Property (IP) and commercialise it by licensing it to companies, institutions, etc to develop new innovative products and services. The University's **Intellectual Property Policy** provides detailed guidance on how the creators of UCD IP receive recognition and a share from the revenues received from licensing of UCD IP, and it supports and rewards UCD Researchers for creating and growing new innovative companies based on UCD IP.

5.8 Conflict of Interest

UCD Researchers have an obligation to manage or avoid ethical, legal, financial or other conflicts of interest and to ensure that their activities and interests do not conflict with their obligations to the University or its welfare. It is the responsibility of UCD Researchers to identify and declare any potential, actual or perceived conflicts of interest, whether financial, beneficial, personal, ethical, legal, or other, so that this does not become a complicating or actionable issue. The University's **Conflict of Interest Policy** provides detailed guidance on this matter.

5.9 Authorship

Dissemination of the findings of research and scholarship through excellent publications is central to the University's mission. Appropriate recognition of authorship is an important element of a publication, reflecting both credit and responsibility for the work. The University's **Authorship Policy** outlines the policy on authorship of publications arising from the research and scholarship of UCD Researchers.

5.10 Consultancy and External Work

UCD permits members of the academic staff to engage in external consulting in order to expand and maintain their professional competence, keep abreast of developments and innovation in business and the professions, and to support the Irish economy and enhance the reputation of the University by sharing the University's scientific and academic knowledge with the business community and the professions. The University's **Consultancy and External Work Policy** describes the circumstances under which academic staff may engage external work, either in their own right or on behalf of the University.

5.11 Training and Development

UCD is committed to providing its staff with high quality learning initiatives to shape their professional and personal development through the People Development and Organisational Effectiveness unit of UCD HR. This unit designs and runs a [suite of programmes](#) aimed at supporting faculty and staff in their day-to-day activities, improving skills while also expanding areas of expertise. UCD also implements the **Performance for Growth Policy**, which is a framework containing elements of individual and career development and performance management.

For Post-doctoral Fellows, UCD has established the UCD **Researcher Careers Framework (RCF)**, a structured and supportive skills and early career development model. This provides a research career structure with clear role definition, structured employment framework with a career path that is supported by clear contract management policy and consistent recruitment processes, and a Skills and Career Development (SCD) Framework and supporting policy.

5.12 Sustainability

In UCD, we have a long-standing commitment to sustainability and our UCD Strategy incorporates sustainability as one of its four strategic themes "Creating a Sustainable Global Society". Additionally, UCD recognises the key challenges and opportunities outlined in Ireland's Research and Innovation Strategy – Impact 2030 and our responsibilities to support the achievement of the UN Sustainability Development Goals (SDG's). We focus on interdisciplinary research delivered through partnerships with civil society, industry, governments and academic institutions to deliver solutions that are balanced across the SDGs. UCD has committed to examine and adapt our research practices to support our commitment to sustainability, such as through its involvement in the [Sustainable Research Initiative](#).

6. Related Documents

This document is underpinned by national legislation, including:

- Universities Act, 1997
- Standards in Public Office Act, 2001
- Freedom of Information Act, 2014
- Data Protection legislation, including the General Data Protection Regulation (GDPR), 2016 and the Data Protection Act, 2018

and other related documents

- National policy statement on Ensuring Research Integrity in Ireland
- Framework to enhance Research Integrity in Research Collaborations
- HEA Principles of Good Practice in Research within Higher Education Institutions
- National IP Protocol
- Impact 2030

7. Acknowledgements

UCD wishes to acknowledge the use of the following document whilst formulating this document:

Code of Practice for Research: Promoting good practice and preventing misconduct, UK RIO, 2006

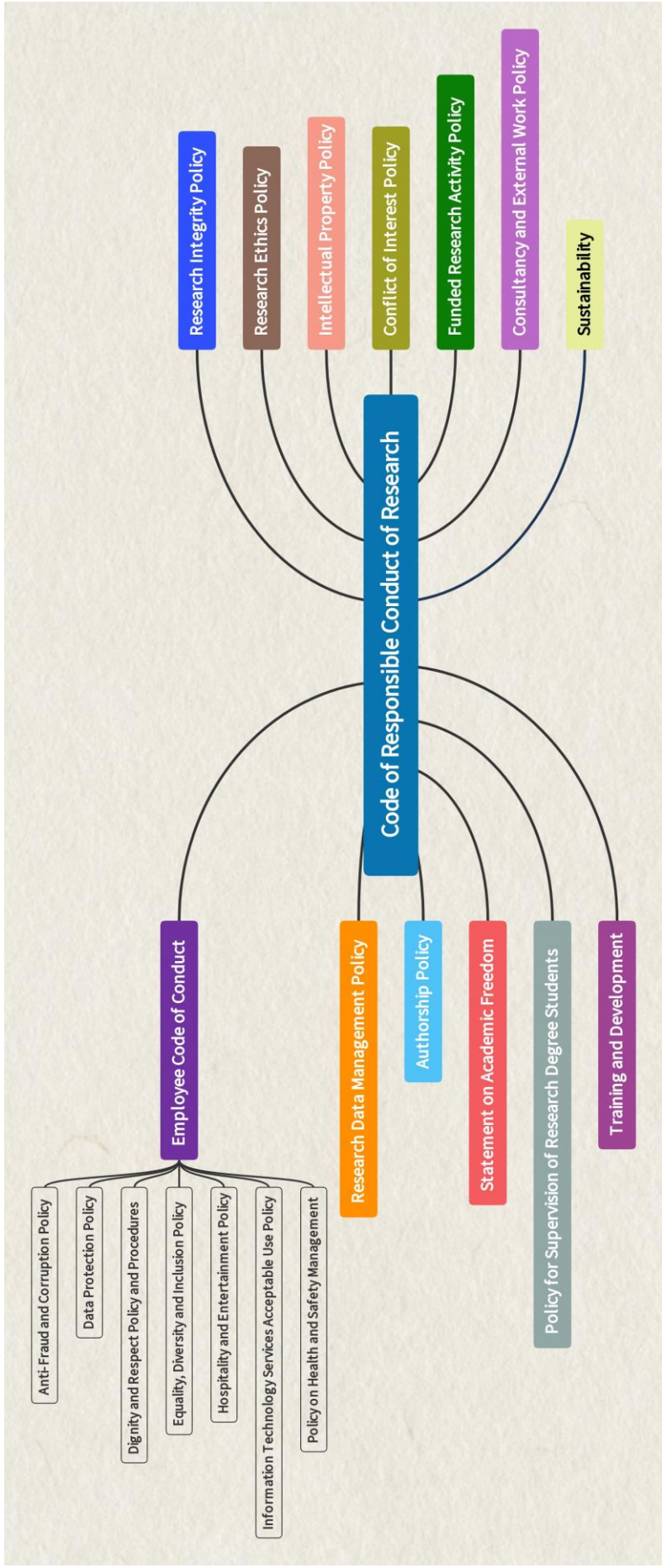
Appendix 1

List of referenced UCD Policy Documents

- [UCD Authorship Policy](#)
- [UCD Conflict of Interest Policy](#)
- [UCD Consultancy and External Work Policy](#)
- [UCD Employee Code of Conduct](#)
- [UCD Funded Research Activity Policy](#)
- [UCD Intellectual Property Policy](#)
- [UCD Performance for Growth Policy](#)
- [UCD Procedure for the Investigation of Misconduct in Research](#)
- [UCD Research Data Management Policy](#)
- [UCD Research Ethics Policy](#)
- [UCD Research Integrity Policy](#)
- [UCD Statement on Academic Freedom](#)
- [Code of Good Practice in Research with Humans and Animals](#)
- [Policy for the Supervision of Research Degree Students](#)
- REC Operating Procedures

Version History

Version	Date	Approving Body	Author
1.0	15 th April 2019	Research Innovation and Impact Group (RIIG)	UCD Research & Innovation
1.1	30 th April 2019	University Management Team (UMT)	UCD Research & Innovation
1.1	21 st May 2019	Noted at: Academic Council Executive Committee (AC-EC)	UCD Research & Innovation
1.1	12 th December 2019	Governing Authority	UCD Research & Innovation
2.0	14 th December 2022	Responsible Conduct of Research Committee (RCRC)	UCD Research & Innovation
2.0	18 th April 2023	Research Innovation and Impact Group (RIIG)	UCD Research & Innovation
2.1	25 th July 2023	Responsible Conduct of Research Committee (RCRC)	UCD Research & Innovation
2.1	4 th October 2023	Research Innovation and Impact Group (RIIG)	UCD Research & Innovation
2.1	24 th October 2023	University Management Team (UMT)	UCD Research & Innovation
2.1	23 rd November 2023	Noted at Academic Council (AC)	UCD Research & Innovation
2.1	14 th December 2023	Governing Authority	UCD Research & Innovation



All policies and policy related documents and forms are subject to amendment. Please refer to the UCD Governance Document Library website for the official, most recent version.