

UCD Code of Responsible Conduct of Research



Policy owner UCD Research & Innovation **Approval date and body** Governing Authority, 12th December 2019

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 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 Data Protection

The University's **Data Protection Policy** is a statement of UCD's commitment to protect the rights and privacy of individuals in accordance with the General Data Protection Regulation (GDPR). It applies to all personal data created or received in the course of University business. It applies to all locations where personal data is held by UCD. All staff, students, third parties engaged with UCD and processing personal data are subject to the provisions of the Data Protection Policy.

5.4 Code of Practice for Supervisors and Research Degree Students

The UCD **Code of Practice for Supervisors and Research Degree Students** provides University-wide support and guidance for the conduct of relationships between research students, their supervisors and Research Masters and Doctoral Studies Panels. The Code offers a set of general principles and details parties' roles and responsibilities as a guide for the establishment of a general framework of norms and standards to govern the relationship between supervisor(s) and students. The Code is applicable to all research degree programmes and may be supplemented by additional guidelines to cover specific School practices or areas requiring specialist research guidelines.

5.5 Funded Research Activity

The UCD **Funded Research Activity Policy** provides clear 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.

5.6 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.

5.7 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.

5.8 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.

5.9 Equality, Diversity and Inclusion

Our University community is made up of a wide range of people with diverse backgrounds and circumstances, which we value and regard as a great asset. As part of our continued commitment to equality, diversity and inclusion, we strive to create an environment in which all members of our community should expect to be able to thrive, be respected and have a real opportunity to participate

in and contribute to University activities so that they can achieve their fullest potential. The UCD **Equality, Diversity and Inclusion Policy** provides detailed guidance on this matter.

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 careers 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 Research Skills and Career Development (SCD) Framework and supporting policy.

5.12 Safety

UCD is committed to providing a safe place of work for all of its employees and to providing a safe environment for students in which to carry out their studies and associated activities. The University is also committed to ensuring that, in so far as is reasonably practicable, its actions and activities do not have a negative impact on the safety of any third parties. In accordance with safety legislation the University expects all employees to take responsibility for their own safety whilst at work and to perform their duties in a safe manner and in accordance with all relevant safe working procedures. The University's **Safety Statement** provides detailed guidance on this matter.

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

- National policy statement on Ensuring Research Integrity in Ireland

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 Data Protection Policy**
- **UCD Equality, Diversity and Inclusion Policy**
- **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 Ethics Policy**
- **UCD Research Integrity Policy**
- **UCD Safety Statement**
- **Code of Good Practice in Research with Humans and Animals**
- **Code of Practice for Supervisors and 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
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