Research Code of Conduct

Version	Approved by	Approval date	Effective date	Next full review
3.0	UNSW Council	6 December 2021	6 December 2021	December 2024

Policy Statement	
Purpose	The purpose of this UNSW *Research Code of Conduct* (Research Code) is to implement the Principles and Responsibilities of Researchers found in the *Australian Code for the Responsible Conduct of Research 2018.* This document should be read in conjunction with the relevant documents listed in *Supporting Information*.
Scope	The Research Code applies to all researchers at UNSW, including: • Coursework Students and Higher Degree Research Candidates • Research staff • Visiting and conjoint/adjunct appointees • Professional/non-academic staff undertaking research or a research function. It also applies to all research undertaken at UNSW.
Policy Provisions	

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1. PREAMBLE

The Research Code provides the foundation for delivery of high-quality research, credibility and community trust in research at UNSW. It describes the behaviours and standards expected of researchers when conducting research responsibly, ethically and for the benefit of the community to maintain confidence in the outcomes of research. Within the context of academic freedom, the *Principles of the Responsible Conduct of Research* (**RCR**) and *Responsibilities of UNSW Researchers* described below are fundamental to the responsible conduct of research wherever it occurs.

UNSW supports the responsible conduct of research by:

- Promoting and fostering a culture and environment that recognises responsible and ethical research practice by providing training and education in responsible research conduct for all researchers and research administrators
- Developing, disseminating, implementing and periodically reviewing institutional processes that promote adherence to the Research Code
- Identifying and complying with relevant legislation, regulations and policies concerning the conduct of research

- Providing facilities for the safe and secure storage and management of research data, records and primary materials and allowing access and reference to these by interested parties wherever possible and appropriate
- Ensuring supervisors of research trainees have the appropriate skills, qualifications and resources to supervise research
- Adopting processes that enable a complainant to formally lodge concerns in the knowledge that these will be addressed confidentially, sensitively and with care to avoid adverse consequences for the individuals.

2. PRINCIPLES OF RESPONSIBLE CONDUCT OF RESEARCH (RCR)

PRINCIPLE 1: HONESTY in the development, undertaking and reporting of research

UNSW researchers present information truthfully and accurately in proposing, conducting and reporting on research.

In the conduct and dissemination of research UNSW researchers:

a) Do not falsify, fabricate, plagiarise, mislead, or misrepresent (either in writing, through electronic/online means or by any other means)

b) Do not deviate from accepted practices in the specific research discipline or pertaining to specific communities

c) Obtain all relevant licenses, permits, permissions and protocols, where necessary.

PRINCIPLE 2: RIGOUR in the development, undertaking and reporting of research.

All research conducted by UNSW researchers is underpinned by attention to detail and robust methodology, avoiding or acknowledging any known biases.

PRINCIPLE 3: TRANSPARENCY in declaring interests and reporting research methodologies, data and findings.

UNSW researchers:

a) Share and communicate research methodology, data and findings openly, responsibly and accurately

b) Disclose and manage conflicts of interest.

PRINCIPLE 4: FAIRNESS in the treatment of others.

UNSW researchers:

a) Treat fellow researchers and others involved in the research fairly and with respect

b) Appropriately reference and cite the work of others

c) Give credit, including authorship where appropriate, to those who have contributed to the research.

PRINCIPLE 5: RESPECT for research participants, the wider community, animals and the environment.

UNSW researchers:

a) Treat human research participants and communities that are affected by the research with care and respect, giving appropriate consideration to the needs of those from minority groups or vulnerable people

b) Engage with all research participants and communities prior to research being undertaken so they can freely make decisions about their involvement. Communicate the outcomes of research to those that have participated.

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c) Ensure that respect underpins all decisions and actions related to the care and use of animals in research

d) Minimise any adverse effects of the research on the environment.

PRINCIPLE 6: RECOGNITION of the right of Aboriginal and Torres Strait Islander peoples to be engaged in research that affects or is of significance to them.

UNSW researchers:

a) Recognise, value and respect the heritage, diversity, knowledge, cultural property and connection to land of Aboriginal and Torres Strait Islander peoples

b) Engage with Aboriginal and Torres Strait Islander peoples prior to research being undertaken, so that they can freely make decisions about their involvement

c) Report to Aboriginal and Torres Strait Islander peoples the outcomes of research in which they have engaged.

PRINCIPLE 7: ACCOUNTABILITY for the development, undertaking and reporting of research.

UNSW researchers:

a) Comply with relevant legislation, codes, policies and guidelines

b) Ensure good stewardship of public and UNSW resources used to conduct research

c) Consider the consequences and outcomes of research prior to its communication.

PRINCIPLE 8: PROMOTION of responsible research practices.

UNSW researchers promote and foster a research culture and environment that supports the responsible conduct of research.

3. RESPONSIBILITIES OF UNSW RESEARCHERS

To comply with the principles of the responsible conduct of research (RCR), UNSW researchers adhere to and demonstrate the following responsibilities:

RESPONSIBILITY 1: SUPPORT A CULTURE OF RESPONSIBLE CONDUCT OF RESEARCH (RCR).

UNSW researchers support a culture of responsible conduct of research at UNSW and in their field/discipline of practice.

RESPONSIBILITY 2: RESEARCH SUPERVISION AND MENTORING

UNSW researchers:

a) Provide guidance and mentorship on the responsible conduct of research to other researchers, or research trainees under their supervision, and make reasonable efforts to monitor their conduct

b) Comply with the UNSW *Higher Degree Research Supervision Policy* and the UNSW *Higher Degree Research Supervision Procedure,* in relation to guiding and mentoring on RCR and monitoring Research Trainee conduct.

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RESPONSIBILITY 3: PROMOTING RESPONSIBLE RESEARCH

UNSW researchers:

a) Undertake and promote education and training in the responsible conduct of research

b) Comply with all UNSW requirements to undertake necessary training on the responsible conduct of research.

RESPONSIBILITY 4: LEGAL AND OTHER OBLIGATIONS

UNSW researchers will:

a) Comply with the relevant laws, regulations, disciplinary standards and UNSW codes (including the *Academic Freedom and Freedom of Speech Code of Conduct*), policies and processes related to the responsible research conduct

b) Comply with relevant international Codes of Conduct, laws and permit requirements when conducting research overseas

c) Comply with any/all other laws or obligations relating to a researcher's specific discipline and field of research

d) Ensure appropriate approvals are in place prior to the commencement of research, and that the conditions of any approvals are adhered to during the conduct of research and in the reporting of the research.

e) Ensure that when entering into affiliation, collaborative or contractual arrangements with third parties and in accepting donations from third parties subject to conditions, they take all reasonable steps to minimise the restrictions or burdens imposed by such arrangements or conditions on the freedom of speech or academic freedom of any member of the academic staff or students carrying on research under such arrangements or subject to such conditions.

Some research may require approvals, permits or licences from external bodies (e.g. for research conducted in National Parks, waterways, and with Indigenous communities). Such requirements include, but are not limited to:

i. The use of drones

ii. Quarantine

iii. The collection and management of human tissues and samples

iv. Wildlife import and export (including animal tissues, samples)

v. Defence trade controls and research export controls

vi. Biosafety, including gene technology

vii. Radiation safety, including the use of radioactive substances

viii. Privacy and confidentiality

ix. Drugs and prohibited substances

x. Chemical and biological agents

xi. Relevant practices relating to a researcher's specific discipline (or disciplines where research is multi-disciplinary).

RESPONSIBILITY 5: HUMAN RESEARCH ETHICS

UNSW researchers:

a) Apply the ethics principles of research merit and integrity, justice, beneficence and respect in the conduct of all human research

b) Only conduct research involving humans with approval from the appropriate ethics review body

c) Comply with all approved protocols and the requirements of the *National Statement on Ethical Conduct in Human Research* and UNSW *Human Research Ethics Procedure*.

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RESPONSIBILITY 6: ABORIGINAL AND TORRES STRAIT ISLANDER PEOPLES

UNSW researchers engage with Aboriginal and Torres Strait Islander peoples and respect their legal rights and local laws, customs and protocols.

They also comply with the requirements (as varied or updated) of the:

a) *National Statement on Ethical Conduct in Human Research*

b) *Ethical Conduct in research with Aboriginal and Torres Strait Islander People and communities: Guidelines for researchers and stakeholders*

c) *Code of Ethics for Aboriginal and Torres Strait Islander Research*

d) *Protocols for using First Nations Cultural and Intellectual Property in the Arts*

RESPONSIBILITY 7: ANIMAL RESEARCH ETHICS

UNSW researchers:

a) Only conduct research involving animals after receiving approval from an appropriate animal ethics review body

b) Consider the 3Rs (Replacement, Reduction and Refinement) at all stages of research involving animals

c) Act to minimise the impacts of research on animals and in so doing support the welfare and well-being of these animals; and

d) Comply with all approved protocols and the requirements of the *Australian Code for The Care and Use of Animals for Scientific Purposes* and the UNSW *Animal Research Ethics Procedure*.

RESPONSIBILITY 8: RESEARCH METHODS

UNSW researchers adopt methods appropriate to the aims of the research and ensure that conclusions are justified by the results.

RESPONSIBILITY 9: RECORDKEEPING

UNSW researchers:

a) Retain clear, accurate, secure and complete records of all research including research data and primary materials and, where possible and appropriate, allow access and reference to these by interested parties; and

b) Comply with the UNSW *Research Data Governance & Materials Handling Policy*.

RESPONSIBILITY 10: DISSEMINATION OF RESEARCH

UNSW researchers disseminate research findings responsibly, accurately and broadly, and where necessary or appropriate, take action to correct the record in a timely manner.

UNSW researchers comply with the:

a) UNSW *Research Authorship, Publication and Dissemination Policy* and *Research Authorship and Publication Dispute Management Procedure.*

b) UNSW *Responsible Peer Review Procedure*

c) UNSW *Intellectual Property Policy*; and

d) UNSW *Open Access Policy*.

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RESPONSIBILITY 11: CONFLICTS OF INTEREST
UNSW researchers: a) Comply with the UNSW *Conflict of Interest Disclosure and Management Policy* and UNSW *Conflict of Interest Disclosure and Management Procedure* b) Disclose to the university, funding bodies, ethics committees, publishers, and other required parties any and all actual, potential or perceived conflicts of interest and manage them accordingly

RESPONSIBILITY 12: PUBLICATION AND AUTHORSHIP
UNSW researchers: a) Include all authors of research outputs. Authors of research outputs are those, and only those, who have made a significant intellectual or scholarly contribution to the research and its output, and they have agreed to be listed as an author b) Cite and acknowledge other work appropriately and accurately and obtain permission for the use of unpublished work c) Acknowledge professional and technical staff, institutions, funders, shared facilities and other contributors to the research explicitly in all published outcomes of the research; and d) Comply with the UNSW *Research Authorship, Publication and Dissemination Policy* and *Research Authorship and Publication Dispute Management Procedure.*

RESPONSIBILITY 13: RESPONSIBLE PEER REVIEW
UNSW researchers: a) Participate in peer review in a way that is fair, rigorous and timely and maintains the confidentiality of the content; and b) Comply with the UNSW *Responsible Peer Review Procedure.*

RESPONSIBILITY 14: REPORT SUSPECTED OR POTENTIAL BREACHES OF THE RESEARCH CODE
UNSW researchers report suspected or potential breaches of the Research Code to the relevant institution and/or authority. All suspected or potential breaches will be handled in accordance with the *UNSW Research Misconduct Procedure.*

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4. UNSW RESEARCH INTEGRITY ADVISORS

4.1. The Deputy Vice-Chancellor Research & Enterprise will appoint Research Integrity Advisors (RIA) from each UNSW Faculty. These will usually be the Deputy/Associate Dean (Research) of each UNSW Faculty.

4.2. The Deputy Vice-Chancellor Research & Enterprise may appoint more than one RIA within a Faculty.

4.3. Research Integrity Advisors will provide advice and clarification on matters related to this Research Code and the UNSW processes for raising a concern and how to make a complaint about the conduct of research.

5. BREACHES OF THE RESEARCH CODE

5.1. UNSW recognises that most UNSW researchers demonstrate behaviours consistent with the RCR set out in this Research Code.

5.2. Any suspected or potential breach of the Research Code will be managed in accordance with the UNSW *Research Misconduct Procedure.*

Accountabilities	
Responsible Officer	Deputy Vice-Chancellor Research & Enterprise
Contact Officer	Director, UNSW Conduct & Integrity
Supporting Information	
Legislative Compliance	This Code supports the University's compliance with the following legislation: *Animal Research Act 1985* (NSW) *Gene Technology Act 2000* (Cth) *Privacy Act 1988* (Cth) *State Records Act 1998* (NSW) *University of New South Wales Act 1989* (NSW) *Work Health and Safety Act 2011* (NSW)
Supporting Documents	UNSW Research Misconduct Procedure

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Related Documents	Academic Freedom and Freedom of Speech code of Conduct Animal Research Ethics Procedure Australian Code for the Responsible Conduct of Research (2018) Australian Code for the Care and Use of Animals for Scientific Purposes Code of Conduct Code of Ethics for Aboriginal and Torres Strait Islander Research [which replaces the *Guidelines for Ethical Research in Australian Indigenous Studies* 2012 (GERAIS)] Complaint Management Policy Conflict of Interest Disclosure and Management Procedure Conferring Academic Titles Policy Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities: Guidelines for researchers and stakeholders Fraud and Corruption Prevention Policy Handling Research Material & Data Procedure Health and Safety Policy Health and Safety - Guidelines Health and Safety – Procedures Higher Degree Research Supervision Policy Higher Degree Research Supervision Guidelines Higher Degree Research Supervision Procedure Human Research Ethics Procedure Intellectual Property Policy National Statement on Ethical Conduct in Human Research – Updated 2018 Open Access Policy Paid Outside Work by Academic Staff Policy Plagiarism Policy Privacy Policy Report Wrongdoing Policy Report Wrongdoing Procedure Research Authorship, Publication and Dissemination Policy Research Authorship and Publication Dispute Management Procedure Research Data Governance & Materials Handling Policy Research Export Controls Procedure Responsible Peer Review Procedure Statement of Authorship and location of Data Form Student Code of Conduct Student Misconduct Procedure Unreasonable Complainant Conduct Procedure University of New South Wales (Academic Staff) Enterprise Agreement University of New South Wales (Professional Staff) Enterprise Agreement Thesis Examination Procedure Delegations of Authority
Superseded Documents	Research Code of Conduct, v2.0
File Number	2018/29659

Definitions and Acronyms

Authorship	At UNSW this is the practice of the inclusion of researchers who have made a significant intellectual or scholarly contribution to the research and its output according to the authorship criteria set out in the *UNSW Authorship and Resolving Disputes Between Authors Procedure*
Breach of the Research Code	A failure by a UNSW researcher to meet the principles or responsibilities of the UNSW *Research Code of Conduct* (Research Code). A breach of the Research Code may refer to a single breach or multiple breaches.
Conflict of Interest	A conflict of interest in the context of research exists where either: 1. a person's individual or private interests or responsibilities have the potential to improperly influence the carrying out of their institutional role or professional obligations in research. 2. an institution's interests or responsibilities have the potential to influence the carrying out of its research obligations. A conflict may relate to financial interests or other private, professional or institutional benefits or advantages that depend significantly on the research outcomes. A conflict of interest may compromise or have the potential to compromise the research process itself and/or the institutional processes governing research and may lead

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	researchers or institutions to influence decisions about the research based on factors outside the research requirements. A perception that a conflict of interest exists can be as serious as an actual conflict, raising concerns about an individual's integrity or an institution's management practices See further the UNSW *Conflict of Interest Disclosure and Management Policy* and the UNSW *Conflict of Interest Disclosure and Management Procedure.*
Coursework Student	• Undergraduate students undertaking research, research subjects or a research assessment in fulfilling their course requirements (e.g. Honours program students) • Postgraduate coursework students (e.g. Masters by Coursework) undertaking research, research subjects or a research assessment in fulfilling their course requirements. The Research Code only applies to those aspects where research is/has been conducted.
Higher Degree Research (HDR) Candidate	A person enrolled in a UNSW Higher Degree Research program (Doctor of Philosophy, Professional Doctorate, Masters by Research or Master of Philosophy).
Fabricate or Fabrication	Creating or reporting data or results without conducting research and reporting the data as gathered through accepted research practices.
Falsify or Falsification	Manipulating research materials, equipment, processes, or changing or omitting data or results such that the research is not accurately represented. Falsification also includes the selective omission/deletion/suppression of conflicting data without scientific or statistical justification.
Misrepresent or Misrepresentation	Under reporting procedures, obscuring analytical or interpretive techniques, eliminating problematic cases from the data without disclosing. Misrepresentation also includes overstating the significance of marginal findings or failing to report null findings.
Peer Review	The 'impartial and independent assessment of the scholarly work, research, or ideas of others who have knowledge and/or expertise in the same or related field[1]. Peer review includes, but is not limited to, group meetings and assessment of theses, grant applications, conference abstracts, and research works submitted for publication or display including books and creative works. UNSW researchers in receipt of public funding have a responsibility to participate in the peer review process. See also the UNSW *Responsible Peer Review Procedure*.
Plagiarise or Plagiarism	Plagiarism at UNSW means using the words or ideas of others and passing them off as one's own, including copying, inappropriate paraphrasing, collusion, inappropriate citation and self-plagiarism as defined in the UNSW *Plagiarism Policy.*
Privacy and Confidentiality in research[2]	**Privacy** is the control over the extent, timing, and circumstances of sharing oneself (physically, behaviourally, or intellectually) with others. Privacy is: • About people • A sense of being in control of access that others have to ourselves • A right to be protected • In the eye of the participant, not the researcher or the ethics review committees. **Confidentiality** pertains to the **treatment of information** that an individual/group/organisation/company has disclosed in a relationship of trust and with the expectation that it will not be divulged to others without permission in ways that are inconsistent with the understanding of the original disclosure. Confidentiality: • Is about identifiable/sensitive data/information • Is an extension of privacy • Is an agreement about maintenance and who has access to identifiable data • In regard to health/medical data, protects patients from inappropriate disclosures of private health information.

[1] Australian Code for the Responsible Conduct of Research, Chapter 6

[2] UCI Office of Research

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	• In regard to sensitive data/information, protects from any inappropriate breach of intellectual property/copyright/moral rights
Processes	This includes reference to codes, policies, standards, procedures, or guidelines. This includes, but not limited to, the Research Code.
RCR	Responsible conduct of research.
Research	The creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies, inventions and understandings. This could include: • Synthesis and analysis of previous research to the extent that it is new and creative • The conception, design, conduct and reporting of research, including all associated research activities, methods, procedures and research outputs; or • Other activities in support/maintenance of a researcher's functions at UNSW, including undertaking responsible conduct of research training, research supervision (limited to mentoring on responsible research conduct and monitoring Research Trainee conduct) and participating in peer review or other activities as required.
Researcher/s	Person or persons engaged or affiliated with UNSW who conducts research. At UNSW this includes UNSW academic staff, non-academics/professionals undertaking research, conjoint appointments (those who have been conferred an academic title by UNSW in accordance with the UNSW *Conferring Academic Titles Policy*), and visiting appointments undertaking research at UNSW, including staff classified as "professional and technical" and casual staff undertaking research at UNSW. Researchers also include Research Trainees, Higher Degree Research (HDR) Candidates and Coursework Students.
Research Code	The UNSW *Research Code of Conduct*.
Research Data and Materials	This includes all raw data, and any data produced or generated in the conduct of research and associated research activities (including any data collection; and/or analysis). This also includes the storage, retention and disposal of research data. See also the UNSW *Research Data Governance & Materials Handling Policy* and UNSW *Research Data Governance & Materials Handling Procedure*.
Research Ethics	UNSW researchers comply with all ethical requirements in conducting any research that involves animals; and/or human subjects/participation; and/or research involving radiation/radioactive substances or genetically modified organisms. At UNSW research ethics also includes research where further permits or legislative compliance is required to conduct research, including (but not limited to): quarantine, defence trade controls, export/import of animals/samples/tissues, fisheries, government animals and wildlife and use of drugs in research.
Research Integrity Advisor (RIA)	Person or persons appointed, trained and supported by institutions to promote the responsible conduct of research by providing advice on research practices and researcher responsibilities as well as advice to those with concerns or complaints about potential breaches of the *Australian Code for the Responsible Conduct of Research*. At UNSW, RIAs will normally be the Deputy /Associate Dean (Research) within each UNSW Faculty.
Research Misconduct	A serious Breach of the Research Code which is also intentional or reckless or negligent.
Research Output	A research output communicates or makes available the findings of research that may be published in hardcopy, electronic or other form. Examples of research outputs include, but are not limited to journal articles, book chapters, books, conference papers, reports, datasets, patents and patent applications, performances, videos, exhibitions and research theses. These can be in draft or published form.

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Research Trainee/s	Any HDR Candidate or any researcher who is within 5 years of having obtained their postgraduate research qualification, excluding any career interruptions, and who is being supervised by another researcher.
Responsible Conduct of Research (RCR)	RCR is the UNSW research environment where responsible research is maintained and promoted during all aspects of research. UNSW's hallmarks of RCR are based on Honesty, Rigour, Transparency, Fairness, Respect, Recognition, Accountability and the Promotion of RCR.

Revision History

Version	Approved by	Approval date	Effective date	Sections modified
Version 1.0 replaced the Code of Conduct for the Responsible Practice of Research approved by Academic Board 2 March 2004 (AB04/21)				
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
1.2	UNSW Council	14 August 2017	14 August 2017	Administrative update to senior management roles
1.3	President and Vice-Chancellor	22 March 2018	22 March 2018	Updated to include Plagiarism Policy as a supporting document
2.0	UNSW Council	17 June 2019	1 July 2019	Full review
3.0	UNSW Council	6 December 2021	6 December 2021	Review with minor changes to link to current Codes and Policies and update definitions

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