

# UCT POLICY for RESPONSIBLE CONDUCT OF RESEARCH

[Last revised August 2012]

*This document must be read with the UCT Authorship Practices Policy, the UCT Research Ethics Code for Research Involving Human Participants, the UCT Research Ethics Code for Use of Animals in Research and Teaching, the [DRAFT] UCT Policy for Conflicts of Interest and of Commitment in Teaching and Research, the [DRAFT] UCT Policy and Procedures for Breach of Research Ethics Codes and Allegations of Research Misconduct in Research, the [DRAFT REVISED] Policy for Avoiding Plagiarism, the [DRAFT] Whistle-blowing for Academic Misconduct Policy.*

## • RESPONSIBLE CONDUCT OF RESEARCH

In keeping with the emphasis on excellence in research, UCT has a Responsible Conduct of Research framework of policies that govern research at the university, all of which are designed to promote ethical research conduct, integrity in research and related relationships and to provide procedures to guide decision makers or persons who wish to raise concerns.

The policies include the Authorship Practices Policy that requires fair, transparent, and ethical conduct regarding collaboration in research to avoid conflict; the Conflict of Interest and of Commitment in Teaching and Research Policy and Procedures that guides how to recognize and manage such conflicts; the Research Misconduct Procedures that provide clear, transparent and fair processes for dealing with allegations of research misconduct; the Policy on Avoiding Plagiarism that guides both staff and students on how to avoid this form of academic dishonesty; the Whistle-blowing Policy for Academic Misconduct that provides procedures for persons who raise a concern about possible breach of policy or code; and the UCT Research Ethics Code for Research Involving Humans and the UCT Code for Use of Animals in Research and Teaching.

UCT affirms the requirement that research involving human participants or animal use for research or teaching must undergo ethics review, according to faculty-specific guidelines. Review generally entails prior approval of a research proposal by a Research Ethics or Animal Ethics Committee. In cases where prior approval is not appropriate, the research proposal should be subjected to appropriate deliberative procedures, according to faculty-specific guidelines. Two committees, the Senate Ethics in Research Committee and the Senate Animal Ethics Committee make and implement policy regarding research ethics and related matters for research that involves human participants or animal use. Each Faculty has a Research Ethics Committee and, where appropriate, an Animal Ethics Committee, which review research proposals and/or ensure adequate deliberation to ensure compliance with the highest ethics standards. Where research does not involve human participants or animal use, it must also comply with ethics standards, especially those that govern the particular discipline or field, in addition to the other UCT research policies listed above.

- **IMPLEMENTING RESPONSIBLE CONDUCT OF RESEARCH POLICIES**

All UCT-based or affiliated researchers bear responsibility for ensuring that these policies are implemented properly and are adhered to. The Senate Ethics in Research and Senate Animal Ethics Committees have the special responsibility to receive reports, advice and queries relating to research involving human participants or animal use respectively. The Terms of Reference for each committee outline both the scope of this responsibility and the procedures to be used.

The Office of Research Integrity works collaboratively with research ethics and animal ethics committees as well as individual researchers, under the auspices of the Senate Ethics in Research and Senate Animal Ethics Committees, to promote responsible conduct of research and in particular to foster ethics in research.

The policy and procedure documents mentioned above may require revision to respond to changing circumstances and needs. All UCT-based or affiliated researchers bear responsibility to bring deficiencies in these documents to the attention of the EiRC, the SAEC or the ORI. In this way, a sound reflexive and responsive approach to responsible conduct of research can be assured.