

# LYCEUM CAMPUS CODE ON GOOD PRACTICES FOR RESEARCH

## SECTION 1

### 1.1 Introduction and context

Research is defined as the pursuit and advancement of knowledge.

Higher education institutions have a responsibility to provide a conducive academic, social and research environment that promotes a research culture and research excellence within it for its staff and students.

The Lyceum Campus thus recognizes its obligation to the wider research community and to society as a whole, to uphold the integrity of academic research. It is committed to the highest standards in its research, underpinned by the quality of the research process, from conception through dissemination and application.

UGC-HETC (2015) ‘Standards’ for performance of research that higher education Institutions in Sri Lanka are required to meet are:

*‘The University recognizes postgraduate training, research innovation, scholarship and commercialization as core functions as reflected in the strategic plan and organizational structure’*

‘STANDARD’ 7.1 pp73

*‘The university ensures a conducive academic, social, and research environment that inculcates scholarship, critical inquiry, innovation, and commercialization where relevant*

‘STANDARD’ 7.4 pp74

*‘The University/HEI has policies, institutional arrangements and procedures for research/innovation and commercialization’ STANDARD 7.25 pp 77*

The Code of Good Practice for Research designed by the Lyceum Campus lays the foundations for the proper conduct of research and provides direction on the standards expected by the Campus, and the various responsibilities of its members in upholding the standards.

## **1.2 Code on Good Practices for Research**

### **1.2.1 Aim**

The Code of Good Practices for Research aims to:

- set standards that enhance research quality, integrity, and compliance.
- assist researchers in fulfilling the requirements of regulatory, funding and other bodies and ensure that important issues have not been overlooked.

### **1.2.2 Purpose**

The purpose of the Code is to :

- create an enabling environment where good research practice is encouraged throughout its research activities within the university, in order to foster a research culture
- create a vibrant atmosphere of research among faculty and researchers in the university;
- serve as an overall framework within which research activities may be carried out;
- improve the quality of research in all fields;
- promote the adoption of good scientific practices on the part of new researchers.

The implementation and monitoring of the Code of Good Practice shall be carried out by the Research Committee.

### **1.2.3 Scope**

- It is a Campus-wide Code.
- It applies across all subject disciplines and all fields of study.
- It applies to all those undertaking research under the Campus auspices

### **1.2.4 Structure of the Code**

The Code is organized in the following sections:

Section 2 : Briefly describes the broad principles which define the responsibilities and values in the conduct of research by researchers and the Lyceum Campus.

Section 3 : Describes detailed standards for good practice in research that researchers and the Campus should comply with. The standards apply to all disciplines of research.

### **1.2.5 Observance of the Code**

All staff and students involved in academic research should familiarize themselves with the Code and ensure that its provisions are observed.

Deans of Faculties and Heads of Departments and other senior staff have a duty to ensure compliance with the Code within their areas of responsibility.

Principal investigators and Supervisors of students engaged in research will seek to ensure compliance with the Code on the part of research staff and students.

It should be noted that only through the endorsement and support of good practices in research at the highest level, and implementation through education ,training and supervision, can researchers become aware of the individual responsibilities and the collective responsibility they have to the Campus and the wider research community.

## **SECTION 2**

### **General Principles of Research Conduct**

The Campus and researchers should adhere to the following principles, which set out the responsibilities and values relevant to research and should be guided by these principles when implementing and complying with the core standards described in section 3.

#### **2.1 Excellence**

Strive for excellence in research means practicing high quality research, producing reliable results and contributing to the status of knowledge and science, to the overall benefit of students and society.

The Campus and researchers should strive for excellence when conducting research and research must aim to produce and disseminate work of the highest quality.

#### **2.2 Honesty**

The Campus should create and maintain a culture that fosters and supports honesty in research. Research Information should be presented truthfully and accurately : this applies to the whole range of work encompassed within the research process, from the initial formulation of concepts and hypotheses, through methodological and/or experimental design, through analysis of data or ideas, to the publication of results and the acknowledgement of the contributions of the authors.

Research should refrain from plagiarism, infringement of intellectual property rights, and the fabrication of results.

Researchers should neither engage in misconduct nor conceal it.

## **2.3 Integrity**

Research integrity refers to the core values of honesty, rigour, transparency, open communication, care and respect and accountability. The Code ensures those involved in research activities under the Campus's auspices are well informed and compliant with current legal, regulatory, and international principles and expectations when planning, conducting, and disseminating their research work.

## **2.4 Transparency and openness:**

While recognizing the need for researchers to protect their own research interests and those of any funding body, the Campus should promote researchers to be as open as possible in discharging their work and exchanging ideas with other professional and the public, provided that this is consistent with any consideration of confidentiality in declaring conflicts of interest; in the reporting of research data collection methods; in the analysis and interpretation of data; in making research findings widely available, which include sharing negative results as appropriate; and in presenting the work to other researchers and to the general public.

## **2.5 Accountability**

The Institution and researchers should recognize that in and through their work, researchers are ultimately accountable for the research funders, general public and themselves for the work they conduct, and should act accordingly.

They should ensure that any research undertaken complies with any agreements terms and conditions relating to the project and allows for proper governance and transparency.

For example : where research is funded by a funding body researchers must ensure that the research they undertake is consistent with terms and conditions, as defined by the funding body and/or covered by agreements between the Institution and the funding body. This includes the need to ensure that the research is carried out as

defined in the original proposal to the funding body unless amendments have been agreed in writing.

Researchers should follow the requirements and guidance of any professional bodies in their field of research; reports should be both timely and accurate and conditions relating to publication and the ownership of intellectual property should be met.

## **2.6 Staff Development and Training**

The Campus should provide support for researchers and postgraduate students to carry out research to the required standards, and also provide development opportunities and training to achieve the necessary skills. Identification of training needs is a responsibility shared between the individual and their supervisors in case of students.

Researchers should ensure they have the necessary skills ,training and resources to carry out research.

## **2.7 Health and Safety**

The Campus and its researchers should ensure the dignity, rights, safety, and well being of all involved in research and avoid unreasonable risk or harm to research subjects, patients, participants, researchers and others.

All researchers should familiarize themselves with and adhere to the Campus Health and Safety Policies.

## **2.8 Compliance with policies**

All staff and students should be familiar with campus policies and procedures that govern the research process. These policies are referred to throughout this Code. The Campus expects researchers to comply with legal, regulatory, and other requirements established by the Campus, regulating bodies ,funding sources and professional organizations during the research process.

## **SECTION 3**

### **Standards for Good Practices in research**

The above principles outlined in Section 2 are captured in the following good practices, that will apply to all disciplines of research.

#### **3.1 Leadership**

Creation of a conducive research environment is essential to good research practice. Within a research group, responsibility for creating such an environment lies with the group leader.

Heads of Departments/Group leaders and other senior researchers should create a research environment of mutual cooperation in which all researchers are encouraged to develop their skills, and in which the open exchange of research ideas is fostered and in which individuals are empowered and enabled to own the research process.

It is the responsibility of senior staff, including Heads of Departments and research group leaders, to ensure that researchers including any students involved in research are managed and supported to ensure awareness and compliance with the Code.

#### **3.2 Research Supervision**

The Campus should be committed to providing direction and supervision of research and researchers, setting out clear lines of accountability for the organization and management of research. The Campus ensures an appropriate policy for postgraduate supervision with guidelines to supervisors and students.

Research staff involved in the supervision of other researchers should be aware of their responsibilities and ensure that they have the necessary training, time, and resources to carry out their role.

Oversight should be provided to research students on experimental procedures, including study designs and data collection validity, reporting and retention.

Postgraduate students and research assistants should be instructed on all relevant regulations, university policies, and university procedures with humans, animals and /or hazardous material.

Clearly defined guidelines should be in place on the roles, responsibilities and conduct of postgraduate research supervisors and ensures their compliance.

Clearly defined mechanism for monitoring the progress of research students should be in place.

### **3.3 Training and Mentoring**

Mentoring young researchers in the technical as well as ethical aspects of research is a significant responsibility. Research supervisors have the rewarding and unique opportunity to inform, instruct, and to set an example for the responsible conduct of research.

Campus provides training for researchers to enable them to carry out their duties and develop their knowledge and skills throughout their careers. This includes training in the responsible design, conduct and dissemination of research.

Campus should provide mentors to assist in the training and career development of new researchers.

## **3.4 Research Design**

### **3.4.1 When designing research projects researcher must ensure that :**

- proposed research addresses pertinent questions and is designed either to add to existing knowledge about the subject in question or to develop methods for research into it.
- design of the study is appropriate for the question being asked.
- the design and conduct of study , including how data will be gathered, analyzed and managed, are set out in detail in a pre-specified research plan or protocol.
- all necessary skills and experience to carry out the proposed research should be available in the proposed research team, or made available through collaboration with specialists.
- sufficient resources should be available to carry out the proposed research.
- any issues relating to the above are resolved, as far as possible, prior to the start of the research.

3.4.2 Where the design of the study has been approved by ethics committee, regulation or peer review, researchers should ensure that any subsequent alterations are subject to appropriate review, to ensure that they will not compromise the integrity of research.

3.4.3 Researchers should be prepared to make research design available to peer reviewers and journal editors when submitting reports for publication.

## **3.5 Collaborative Research**

Collaborative research offers many opportunities to significantly expand research in response to more detailed questions, by sharing expertise and resource.

The Campus should have a policy on collaboration/partnerships with local, national, regional, and international organizations to share knowledge, expertise, human resources, services, and research.

When conducting collaborative research in other countries, the Campus should comply with the legal and ethical requirements of Sri Lanka, as well as those of the other countries where the research is conducted.

Researchers should be aware of the standards and procedures for the conduct of research, followed by any organization involved in collaborative research that they are undertaking.

They should also be aware of any contractual requirements involving partner organizations, seeking guidance and assistance where necessary and reporting any concerns or irregularities to the appropriate person, as soon as they become aware of them.

Agreement should be sought on the specific roles of the researchers involved in the project, and on issues relating to intellectual property, publications and the attribution of authorship.

### **3.6 Conflict of Interest**

In research conflicts of interest refers to situations in which financial or other personal considerations may compromise-or have the appearance of compromising an investigator's professional judgement in conducting or reporting research. This might impair the objectivity in conducting the research or reporting the findings.

The campus should have clearly formulated policies for addressing potential and actual conflicts of interest. The policy should include guidance for researchers on how to identify, declare and address conflicts of interest and should disseminate and explain the policy to researchers.

The Campus should ensure that researchers understand the importance of recognizing, disclosing, and addressing conflicts of interest in the conduct and reporting of research.

Researchers should comply with their Campus policy for addressing conflicts of interest as well as any external requirement relating to conflicts of interest, such as those of funding bodies.

Researchers must declare any actual or potential conflict of interest arising in relation to their work, to their Head/Department and take action as applicable.

### **3.7 Health and Safety**

The campus should set up systems to ensure that the proposed research undergoes all forms of appropriate review, in accordance with the Campus policy on health and safety.

Researchers should submit such research proposals for appropriate review and abide by the outcome of that review.

### **3.8 Intellectual Property**

Intellectual Property includes research data and other findings or research ideas, processes, software, hardware, apparatus, equipment, substances and materials, literary works ,Including academic and scientific publications.

The Campus and researchers should ensure that any contracts or agreements relating to research include provision for ownership and use of Intellectual Property.

The Campus and researchers should not give prior disclosures of research, or the findings of the research, when this might invalidate any commercial property rights that could result.

### **3.9 Research Funds**

Researchers must ensure compliance with all terms and conditions of any grant or contract related to research.

Purchasing and expenditure of funds should take place, in accordance with the terms and conditions of any grant or contract held for the research and the Campus's financial regulations. They must comply with the university's guidelines regarding the use and management of finances relating to research projects. Advice on the compliance with the financial regulations should be sought from Finance Manager of the Campus.

They must cooperate with any monitoring and audit of finances relating to research projects and report any concerns or irregularities to the appropriate person as soon as they become aware of it.

Research funds should be used for costs directly related to research and not be used for personal or other non-research purposes. External research funds must be used in a manner consistent with the requirements of the sponsor.

All assets purchased with research funds remain the property of the campus.

### **3.9 Research Data Management and Data Integrity,**

Campus should recognize that effective management of research data underpins the quality and integrity of research.

Throughout their research work the researcher should keep accurate, complete, and reliable records of the research procedures, survey methods followed and results obtained.

Researchers should accept primary responsibility for data collection, records, retention and transfer to archives.

Researchers should comply with all legal, ethical, funding body and organizational requirements for the collection, use and storage of data, especially personal data, where particular attention must be paid to the requirements of data protection legislation guidelines.

Researchers should collect data accurately, efficiently, and according to the agreed design of the research project, and ensure that it is stored in a secure and accessible form.

Data should be recorded in a form that is easily accessible for analyses and review; privacy of data should be maintained; Data integrity depends on the proper and ethical collection, representation and retention of data.

Campus should maintain ownership of all data collected for research conducted at the Campus, under the auspices of the Campus.

Researchers should ensure that the data is kept intact for any legally or contractually specified period and otherwise, for three years at least from the end of the project, in a form that would enable retrieval by a third party.

Falsification or fabrication of one's own data and unacknowledged use of data generated by others are unacceptable behaviours and constitute misconduct. Researchers should maintain confidentiality where undertakings have been made to 3<sup>rd</sup> parties, or to protect intellectual property rights.

### **3.10 Monitoring and Audit**

The campus should monitor and audit research projects to ensure that they are being carried out in accordance with good practices, legal and ethical requirements.

Researchers should consider any requirements for monitoring and audit at an early stage in the design of the project.

Researchers should cooperate with the monitoring and audit of their research projects by appropriate bodies and undertake such when required. They should cooperate with any outcomes of the monitoring and audit of their research project.

### **3.11 Peer Review**

Peer review is an essential part of the research process.

The Campus should recognize that peer review is an important part of good practice in the publication and dissemination of research and research findings, the assessment of applications for research grants and in the ethics review of research projects.

The Campus should encourage researchers to act as peer reviewers for meetings, journals and other publications, grant applications, ethics review of research proposals etc., and support them. Researchers should review only manuscripts on a subject matter of personal expertise.

Researchers who carry out peer review should do so to the highest standards of thoroughness and objectivity. They must follow the guidelines for peer review of any organization for which they carry out such work.

Researchers must maintain confidentiality and not retain or copy any material under review, without the express written permission of the organization which requested the review. They must not make use of research design or research findings from a paper under review without the express permission of the authors, and must not allow others to do so.

Researchers acting as peer reviewers must declare any relevant conflicts of interest. While carrying out peer reviews researchers may become aware of possible misconduct. In such cases they must inform, in confidence, the organization which requested the review.

### **3.13 Authorship**

Researchers should discuss and resolve issues of authorship before beginning a study or as they arise during the study.

Any contributor or collaborator who has participated in a substantial way in conceiving, executing, or interpreting a significant part of the relevant research process should be given the opportunity to be included as an author of a publication.

Researchers should list the work of all contributors who do not meet the criteria for authorship in an acknowledgements section. All funders and sponsors must be clearly acknowledged.

### **3.14 Publication and Dissemination of research**

Publication is the process by which the results of original research are translated to a published form to facilitate the communication of new knowledge to the professional community.

While encouraging the need for researchers to protect their own interests in the process of planning and undertaking their research, the Campus should encourage all researchers to be as open as possible in making the findings and methods widely available to other researchers and to the public.

Timely communication of research results is the primary method for the public dissemination of new knowledge, which is necessary for fostering growth in a professional field.

The Campus and researcher should recognize the duty to publish and disseminate research in a manner, that all the research findings are reported accurately without selection.

The Campus should provide training and support to guide researchers in the publication and dissemination of research.

Researchers should include sufficient information in publications to enable others to replicate results or otherwise significantly validate the research.

Researchers should avoid simultaneous submission of the same abstract or manuscript to multiple journals, and fragmentary publication of highly similar research findings based on the same data set.

Researchers should be aware that submitting research reports to more than one potential publisher at any given time or publishing findings in more than one publication without disclosure is unacceptable and may be considered as research misconduct.

### **3.15 Research Ethics and integrity**

Research integrity means conducting research in a way which allows others to have trust and confidence in the methods used, and findings that result from this: key elements of which are honesty, rigour, transparency, and the care and respect of all participants.

Researchers conducting research in connection with the campus should incorporate appropriate consideration of ethical issues into the design and management of the project.

### **3.16 Research Misconduct**

Research misconduct can take many forms including fabrication; falsification; plagiarism; failure to meet legal, ethical, and professional obligations; misrepresentation of data including suppression of relevant results/data, flawed interpretation of data; covering up misconduct.

The Campus should define what they consider to be misconduct in research and make it known to all researchers and research students.

The Campus should establish policies and procedures to investigate allegations of misconduct in research, publish them and ensure any such allegations are investigated

thoroughly, fairly, and transparently, in a timely manner and with appropriate provisions of confidentiality.

The Campus should make it clear to researchers that any misconduct in research is unacceptable and should be reported.

The researchers who are found to have committed misconduct in research should be subject to disciplinary proceedings of the Campus.

### **3.17 Research involving Human Participants**

The conduct of research with human participants is highly regulated and is guided by ethical considerations. Researchers should make sure that any research involving human participants, human material or personal data complies with all legal and ethical requirements and other applicable guidelines.

The dignity, rights, safety and well being of participants must be the primary consideration in any such research process.

### **3.18 Responsibilities for Good Research Practice**

- ***Research Committee is responsible for :***
  - championing and promoting excellence and integrity in research;
  - ensuring the Campus policy and procedures relating to research integrity are fit for purpose;
  - monitoring research integrity within the Campus through Annual Reports to the committee, summarizing recent developments in support of research integrity and reporting any allegations and/or cases of research misconduct.
  
- ***Heads of Department is responsible for :***
  - overseeing research integrity within their departments;
  - before research is undertaken, ensuring the availability of facilities, equipment, staff, and support structure;

- overseeing health and safety arrangements ;
- being the first point of contact in handling conflicts of interest and/or ethical cases.
- ***Individual researcher* is responsible for:**
  - maintaining the highest standards of quality in their work at all times;
  - ensuring that they are aware of , understand and comply with all legal obligations , funder's requirements and Campus policies relating to research;
  - taking a proactive approach to their own training and development to ensure that their needs are identified, and addressed, in relation to their research.
- ***Principal investigators and Supervisors* are responsible for :**
  - working with the Heads of Departments to ensure that all necessary facilities , equipment , staff, and support structures are in place before undertaking the research;
  - taking the lead on compliance with legal obligations , funder requirements, and Campus policies;
  - providing appropriate direction and supervision of research;
  - ensuring all personnel associated with the project are competent to perform the tasks required , pursuing training where required;
  - creating a research environment of mutual cooperation , in which all members of a research area are encouraged to develop their skills .
- Campus* is responsible for:**
  - bringing the Code of Practice and other relevant policies to the attention for all those involved in research;
  - ensuring that there are adequate provisions made for training and development to enable staff and students undertaking research to attain the skills necessary for their role.

## **Key Resources**

For the creation of this Code we have used diverse types of resources.

*Manual for Institutional Review of Sri Lankan Universities and Higher Educational Institutions.* University Grants Commission, Sri Lanka and Higher Education for Twenty first Century Project, World Bank (2015).

*Manual for Review of Undergraduate Study Programmes of Sri Lankan Universities and Higher Education Institutions.* University Grants Commission, Sri Lanka and Higher Education for Twenty first Century Project, World Bank (2015).

[Http://www.gov.uk/govt/publications/universal-ethical-code-for-scientists](http://www.gov.uk/govt/publications/universal-ethical-code-for-scientists)  
UK Code of Practice for Research-UK Research Integrity Office-promoting good practice and preventing misconduct <https://ukrio.org>

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