



De La Salle University

Code of Research Ethics and
Guide to Responsible Conduct of Research

¹ The Code of Research Ethics and Guide to Responsible Conduct of Research was approved by the University Research Council on August 23, 2011.

² URCO will disseminate the Code of Research Ethics and Guide to Responsible Conduct of Research within the second term AY2011-2012. It will be for trial implementation for four terms (i.e., 3rd term of AY2011-2012 to end of 3rd term AY2012-2013). Revisions and amendments when necessary can be done within the first four terms. Implementation of the revised Code and Guide to be done in June or at the start of the subsequent Academic Year. Beginning the first term of AY2013-2014, amendments/revisions to the Code and Guide shall follow a two-year cycle.

TABLE OF CONTENTS

Introduction	1
Code of Research Ethics	2
A. Guiding Principles	2
B. General Ethical Standards in Research	3
Guide to Responsible Conduct of Research	5
I. Research Teams and the Training Researchers	5
II. Funding, Management, and Accounting	7
III. Collaborative Research	8
IV. Conflicts of Interest	10
V. Dealing with Research Participants and Communities	12
VI. Dealing with Human Subjects	13
VII. Dealing with Animals in Research	17
VIII. Ensuring Safety and Protecting the Environment	18
IX. Completion and Dissemination of Research	21
X. Publication	24
XI. Authorship	27
XII. Management, Retention and Storage of Data and Materials	30
XIII. Peer Review	32
XIV. Breaches in the Code for the Responsible Conduct of Research	33
XV. Amendments or Revision	35
The University Ethics Committee	36
References	38

Introduction

The Code of Research Ethics establishes the standards for the responsible conduct of research at De La Salle University. As a foundational code, it forms the basis for formulating and implementing policies and regulations of research organizations and academic units in the University. It also guides the professional practice of research by the community of scholars, artists, and learners in the University.

Research is defined here as any systematic investigation that aims to contribute to a body of knowledge or theory. This definition forms the basis for more specific and detailed definitions that can be applied to the various disciplines and professions practiced in the University. Research organizations and academic units in the University are responsible for articulating definitions and paradigms of research applicable to their respective disciplines and professions.

The Code applies to all disciplines and professions practiced in the University, and it articulates the standards in broad terms. Research organizations and academic units in the University provide more detailed and specific guidance in the responsible conduct of research, as well as formulate and implement policies and regulations that address the varieties of research practice and their nuances. Such policies and regulations must complement the Code.

The Code complements and upholds the ethical research codes of professional associations, and does not replace them. The Code also complements and upholds University policies, such as those for intellectual property, health and safety, and management of finances, and does not replace them.

The Code is a dynamic, evolving document, and is subject to periodic review, amendment, and revision, each period not to exceed five (5) years. The review, amendment, and revision process is initiated and conducted jointly by the Vice Chancellor for Research, the University Committee on Ethics and Intellectual Property, which shall be augmented by a full complement of University sectoral representatives, and the University Research Coordination Office.

This introduction is followed by (1) statements declaring the principles that guide the framing of (2) the general ethical standards for the conduct of research in the University. The sections that follow constitute (3) a detailed guide for the responsible conduct of research following the principles and standards enunciated in sections A and B, and (4) a framework for handling breaches of the Code.

Code of Research Ethics

A. Guiding Principles

As a research university, De La Salle University commits itself to the generation and propagation of new knowledge for human development and social transformation. The University prioritizes the conduct of research and provides opportunities, assistance, and incentives at all levels, in all areas, and in all stages of the research process towards this ideal. As an institution of higher learning, its community of scholars, artists, and learners pursues this vocation within the ambit of Christian ideals and values. As a Catholic institution, the University strives to balance the demands of the search for new knowledge with those of the mores and norms inscribed by Catholic dogma.

The conduct of research in the University is governed by a system of moral principles that aims to maintain the highest standards of duty, professionalism, and quality. These principles constitute the code of ethical research practices that guides and informs the pursuit of knowledge towards improving the quality of life in Philippine society. The University and its constituent community honor and uphold this code.

Excellence

Organizations and researchers strive to enhance the reputation of the University and their profession through work that matches or surpasses the world standards of quality in their fields and disciplines. Research at the University sits at the forefront of innovation and contributes significantly to nation-building, progress, and socio-cultural development.

Beneficence and Non-maleficence

Research at the University is dedicated to the generation and propagation of new knowledge that will raise the quality of life and help to build a just, peaceful, stable and progressive Filipino nation. Research organizations and researchers ensure that no harm is done to the community that they serve and work with. They are alert to and guard against the misuse of their work and influence. They uphold the dignity, protect the rights, guarantee the safety, and preserve the well-being of all involved in or affected by the conduct of research.

Truth

The conduct of research at the University is founded on a commitment to honesty and transparency. The University, its research organizations and researchers ensure that all their actions and activities are free from deceit and fraud, and inspire trust and confidence.

Integrity and Professionalism

Research organizations and researchers demonstrate a fundamental soundness of moral character. They strive to preserve the good reputation of the University and the high esteem of the public by honoring all obligations and agreements.

Cooperation

In the pursuit of new knowledge, research organizations and researchers allow the open exchange of ideas, methods, data, and analysis by working and acting collaboratively in the spirit of pluralism and inclusiveness. They initiate opportunities for discussion and debate as ways of fostering excellence. The University supports this thrust by providing venues and mechanisms for its application.

Accountability

As resources of God and Country, the University and its research organizations and researchers serve the general public and are thus obliged to report, explain, and justify all their actions and activities whenever necessary. They behave responsibly and comply with all terms, conditions, policies, agreements, and requirements applicable to their work.

Zeal and Growth

The attitude towards research at the University is one of enabling, empowering, and endowing. The University and its research organizations encourage and sustain the conduct of research and ensure excellence by providing training, opportunities for development, and resources for researchers. Researchers and research organizations impart knowledge and skills to other researchers in a cycle of mentorship that perpetuates the quality of research in the University. Researchers enhance their qualifications through continuous education and training to acquire new skills and capabilities. Various mechanisms within the University facilitate this process.

B. General Ethical Standards in Research

Guided by the principles of excellence, beneficence and non-maleficence, truth, integrity and professionalism, cooperation, accountability, zeal and growth, the general standards for the ethical conduct of research in all its various aspects are described in this section. The elaboration of these general standards is provided in the succeeding sections.

Collaboration in Research

Researchers must engage in research projects within the range of their competencies and collaborate with others to complement their expertise. In collaborative research, researchers not only take responsibility for the quality and integrity of their own contribution to the research project, but must also demand the same standards from their collaborators.

Conflicts of Interest

Guided by the principles of honesty, integrity, professionalism, and accountability, the conduct of research at De La Salle University proceed in an atmosphere of trust. Situations in which trust between participants in the research process is, could be, or perceived to be compromised by personal, financial, professional, and/or institutional considerations must be forthrightly disclosed and resolved in a transparent and fair manner.

Dealing with Research Participants and Communities

Good ethical practices in dealing with research participants involve voluntary participation, and informed consent, ensuring the safety and security of the respondents, and keeping the confidentiality of the respondents sacrosanct.

Dealing with Human Subjects

Subjecting human beings or samples taken from their body to tests and experiments must only be done when there is a likely beneficial result to society. Not only must voluntary participation and informed consent be enforced, researchers must also uphold the dignity, protect the rights, guarantee the safety, and preserve the well-being of the human subjects.

Dealing with Animals in Research

Animals are only used in research when there is no other alternative. Whenever possible, higher animals are replaced by lower or insentient animals, insects, cell cultures or non-animal models. The research project must be designed to require as few animals as possible, and refined to decrease or minimize potential pain, suffering, or distress for the animals.

Ensuring Safety and Protecting the Environment

Researchers must be mindful not only of their own safety but also that of their fellow workers, research subjects and participants, and the community at large and the environment in the conduct of their research. They must take extra measures to ensure safe handling and the proper disposal or storage of hazardous items, microorganisms and genetic materials, to avoid the over-collection of wildlife specimens, and to avert the introduction of non-native species in their research locale.

Research Dissemination, Publication and Authorship

In fulfilling their responsibility to the community, researchers must report research findings in a full, open, non-selective, unbiased, and timely manner to the relevant community. They must report the research activities as they were actually carried out, and describe accurately and in adequate detail the research methods used to help ensure repeatability and replicability of the research findings.

Researchers and research organizations present the best understanding of other scholarly work in their reviews and syntheses, and when these are used or referred to in analyses. They must not report the work of others in a manner that could misrepresent it as their own work.

Authorship must be granted to all those whose intellectual contribution is substantial enough for him/her to take public responsibility in the conception, design, analysis and the drafting of the research report. Under the principle of accountability, all authors must give their final approval of the report before it is submitted for publication or presentation.

Management of Data

Researchers must maintain the security of confidential data and do not use these for the personal advantage of any party. Under the principle of truth, of beneficence and of cooperation, they are expected to retain their data for an appropriate period of time to allow other researchers to check their results, and also to share them for the furtherance of the research process.

Peer Review

Peer review is a process undertaken to nurture a culture of collegiality and uphold the principle of excellence. Peer reviewers must operate under the principle of honesty and transparency, and must not derive unfair competitive advantage from the reviewing process and from their knowledge of other researcher's yet-unpublished ideas or research plans. They are obliged to perform their task thoroughly and submit their reviews in a timely manner so as to enable those whose work they review to benefit from an honest assessment.

Guide to Responsible Conduct of Research

I. Research Teams and the Training of Researchers

A research team is a group of two or more researchers working together on a single research project. A team is one of the indispensable cooperative forms for organizations in a knowledge-based economy society (Ying, S., Xiangdong, D., 2009). The members of the research team must be competent and possess the necessary integrity for the research project. The research team must have the professional expertise to work on a particular project and should undergo the necessary training to fill any gaps in skill and ensure that these skills are up to date (Dench, S., 2004).

1. Members of a research team are treated in relation to the contribution they make to a project, rather than on the basis of seniority or experience. In general, a research team is headed by a full-time faculty member as the project's Principal Investigator/Researcher and may be supported by faculty colleagues, students, or individuals hired based on the needs of and stated qualifications for the project. Prior to any activity included in the research project, a contract or terms of reference must be presented to and signed by the hired members of the team.

2. The responsibilities of the Principal Investigator/Researcher include the following:

2.1. Define personnel requirements of the project.

As team leader, the Principal Investigator/Researcher is primarily responsible for the selection, hiring, and termination of members of the research team. The Principal Investigator/Researcher defines their duties and responsibilities, as well as the corresponding remuneration, which is embodied in a contract or terms of reference to be agreed upon by those hired or selected, signified by the signatures of the latter.

2.2. Ensure training.

In coordination with the appropriate offices (e.g., Accounting, Purchasing), the Principal Investigator/Researcher ensures the provision of the required training for members of the research team prior to or at the onset of the research project. Training includes, but is not limited to, the information, methods, and skills required by the research project. The training must familiarize the team with research ethics, this Code, and the research policies of the University in general and the center/institute in particular, e.g., policies on work schedules, field expenses, liquidation procedures, submission of reports, etc.

2.3 Mentor and provide support.

The Principal Investigator/Researcher should provide his/her team members with guidance in all matters relating to research conduct and overseeing all stages of the research process.

2.4. Supervise the conduct and implementation of research.

To guarantee that the research is conducted professionally and rigorously, the Principal Investigator/Researcher ensures that the methods and outcomes of the research project meet the standards set by the project.

2.5. Ensure appropriate attribution.

The Principal Investigator ensures that team members receive appropriate credit for their contributions to the research project.

2.6. Provide a good example.

The Principal Investigator/Researcher is a role model of excellence, integrity, professionalism, and mutual respect for research team members. The team members, in turn, fulfill the duties and responsibilities in their contracts, comply with the research policies and codes of ethics, and demonstrate a professional attitude towards the research process.

3. To protect the integrity of the University, researchers must inform the University of any issues related to the research project and/or arising out of the implementation of the research project which may damage the University's interests and/or reputation. In such cases, or in ambivalent situations, that a project may compromise the good name of the University, the research organization or researcher concerned should elevate the project to the University Ethics Committee.
4. In general, the Principal Investigator/Researcher and/or the pertinent research organization provides training and opportunities for the professional development of researchers, and the necessary resources to enable them to conduct research according to the required standards. They assist researchers in identifying unmet needs for training and development. Researchers ensure that they have the necessary skills, training, and resources to carry out research in the proposed research team or in collaboration with specialists in relevant fields, and report and resolve any unmet needs identified. In the same vein, members of a research team undergo and complete all the training required for the conduct of research in the research project. Team members demonstrate a cooperative and professional attitude towards the research process and their colleagues. Team members understand that in undertaking research, they join an endeavor that requires dedication and accountability.

II. Funding, Management, and Accounting

Research funds in De La Salle University are sourced internally and externally. Research organizations and researchers comply with University policies on the processing, use, and management of funds related to research projects. They cooperate with any monitoring and auditing, internal and external, of finances involved in research projects, and report any concerns or irregularities to the appropriate person(s) as soon as they become aware of them. Research organizations and researchers observe the rules on research funds contained in the latest (August 2010) Policies and Guidelines published by the DLSU University Research Coordination Office (URCO).

1. Management of funds

All research funds coursed through the College or University are deposited with the Accounting Office. Withdrawals are made through the standard disbursement process and approved subject to the terms and conditions of the research funding agreement.

2. Accounting and liquidation of funds

2.1. The Principal Investigator/Researcher is responsible for monitoring the use and liquidation of research funds. This process is governed by the University's policies on accounting and liquidation of funds. Prompt and correct liquidation of funds prevents delays in further requests for funds. Regular reconciliation with the records of the Accounting Office is recommended.

2.2. The Accounting Office is responsible for safe-keeping of all financial documents and records. The Accounting Office, upon the request of the Principal Investigator/Researcher, collates all the supporting documents, certifies the fund balance, and submits all the required documents to the Principal Investigator/Researcher, who submits the liquidation report to the funding agency unless otherwise provided for in the funding agreement.

3. Researchers adhere to the University's financial regulations regarding research and fully disclose conflicts and conflicts of interest involving finances.
4. Researchers disclose all sources of funding and other material support and acknowledge these in the dissemination and/or publication of the research results.

III. Collaborative Research

Researchers must engage in research projects within the range of their competencies and collaborate with others to complement their expertise. In collaborative research, researchers not only take responsibility for the quality and integrity of their own contribution to the research project, but must also demand the same standards from their collaborators.

Collaborations can be within and between organizations, local and international.

1. Research organizations involved in collaborative research should:

1.1. Establish agreements for each collaboration.

1.1.1. Research organizations involved in a joint research project should ensure that research partners arrive at a written agreement governing the management and conduct of the research project. Such an agreement should adhere to University policies and procedures pertinent to the agreement and observe the general principles of this Code, including integrity, honesty, and excellence.

1.1.2. All contracts and memoranda of agreement that require institutional support are executed in writing. They cover, but are not limited to, the following: intellectual property, confidentiality, and copyright issues; the sharing of commercial returns and responsibility for ethics and safety clearances; and reporting to appropriate agencies and other related legal matters. They address the protocols to be followed by the partners when disseminating the research outcomes, and the management of primary research materials and research data.

1.1.3. Each research organization must ensure that its researchers are aware of and understand the policies and agreements governing joint research collaborations.

1.2. Resolve conflicts of interest.

Research organizations implement their own policies for resolving conflicts of interest that arise during collaborative research.

1.3. Manage access to research materials.

The collaborating parties each identify a person to be involved in the management of research data, primary materials, and other items to be retained at the end of the project.

2. Researchers involved in collaborative research should:

2.1. Comply with multi-institutional agreements.

2.1.1. Researchers involved in joint research projects must be aware of and comply with all policies and written agreements affecting such projects, particularly those involving the dissemination of research findings and the management of research data and primary materials.

2.1.2. Researchers must know and comply with the standards and procedures for the conduct of research observed by any organizations involved in any collaborative research projects they undertake. They must know and comply with any contractual requirements involving partner organizations, seeking guidance and assistance when necessary and reporting any concerns and/or irregularities to the appropriate person(s) as soon as they become aware of these concerns and/or irregularities.

2.2. Declare conflicts of interest.

When engaging in collaborative research, researchers must disclose immediately any actual, probable, or possible conflicts of interest involving any aspect of the research project.

2.3. Make known plans for use of the project.

Collaborating members of a research team should seek permission at the least from the project leader regarding plans to use the project output/report or any part of the project (e.g. literature, framework, data) for some specific purpose or audience such as competitions, publications, conference, and the like.

IV. Conflicts of Interest

Being governed by the principles of honesty, integrity, professionalism, and accountability, the conduct of research at De La Salle University proceeds in an atmosphere of trust. The University, its research organizations, and researchers at the University are expected to act in ways that maintain trust between all participants in the research process.

A conflict of interest is a situation in which the trust between participants in the research process is or could be compromised by personal, financial, professional, and/or institutional considerations that impair the ability of individuals or organizations to make unbiased, impartial decisions, or to act in the manner required by the research process.

A conflict of interest exists when there is the possibility, probability, or actuality of a compromise of the trust surrounding the research process. A conflict of interest also exists when there is the perception of such a possibility, probability, or actuality.

1. Researchers and research organizations must resolve conflicts of interest to maintain the standards for the responsible conduct of research at the University. Conflicts of interest can arise in many situations, such as (but not limited to) the following:
 - 1.1. An affiliation with, or commercial or financial involvement in, any organization or entity with a direct interest in the subject matter or materials of the researchers. This includes the full range of potential interests, including direct benefits, such as sponsorship of the investigation; indirect benefits, such as the provision of materials or facilities; or the support of individuals, such as provision of travel and/or accommodation expenses to attend conferences.

- 1.2. A bias for or against individuals, methods, topics, projects, disciplines, philosophies, etc., especially in an individual or organization that exercises power or authority over an aspect or component of the research process, such that judgment or decisions are no longer impartial. This may also occur when an individuals' personal commitments or beliefs impair their ability to perform tasks required by the research process.
 - 1.3. The undisclosed use of any component of the research process by researchers or research organizations for personal, financial, professional, or institutional gain.
 - 1.4. The disclosure of privileged information in whatever form to non-privileged parties. Privileged information includes, but is not limited to: any information relating to a particular grant application prior to or during the process leading up to or subsequent to a final decision; information about the composition of committees, boards, or teams prior to formal appointment; or any other information whose premature or subsequent release could be harmful to the interests and credibility of researchers, research organizations, and/or the University.
 - 1.5. The conduct of research in which one or more of the components is in disagreement with the mores and norms inscribed by Catholic dogma.
2. Researchers and research organizations disclose to relevant parties, at every stage of the research process, any actual, potential, or perceived conflicts of interest that influence or could influence the outcome of any stage or aspect of the research process.
 3. The University, through its research organizations, provides mechanisms at various levels for identifying, addressing, and managing conflicts of interests. These mechanisms are governed by the University Ethics Committee, which is the body of last resort in such cases. Conflicts of interest should be resolved at the lowest level possible and the resolutions documented accordingly. Concerned parties must comply with the resolutions, in consultation with relevant authorities, to manage or eliminate conflicts of interest.
 4. Research should be conducted above and beyond the influence of concerns other than those pertaining directly to the research project. Cases in which commercial concerns become involved in any stage of the research process (from the design of the research project to the gathering and analysis of data to dissemination and publication), will be addressed in a separate set of policies.

V. Dealing with Research Participants and Communities

Research ethics focuses largely on the responsibilities of researchers towards living subjects of the research process, variously known as “respondents,” “research subjects” or “research participants.” The overall themes are derived from the early international codes (e.g., Nuremberg and Helsinki) and those enshrined in human rights legislations (Dench, S., et al., 2004).

1. In particular and in all cases, good ethical practice in dealing with research participants involves four basic requirements: voluntary participation; informed consent; the safety and security of respondents; and confidentiality. Each of these is discussed below.
 - 1.1. Researchers ensure that participation in research is voluntary. This is especially relevant where researchers have previously relied on “captive audiences” for their subjects: classrooms, meetings, churches, and similar venues. Participants must not feel that they are being coerced into participation through deceit or through undue distress. Participants must be aware when they are participating in research, must be asked for their informed consent, and must be entitled to withdraw at any time. Deception is an attack on the autonomy and integrity of participants.
 - 1.2. Researchers must inform participants in full about their roles and the risks involved in the research project, and participants must consent to participate. The information to be given prior to consent includes the nature and methods of the research, its purposes, any risks, and the likely social and personal consequences of its publication and any other factors which might reasonably be expected to influence participants’ willingness to participate. The information and consent must be appropriately documented, preferably in writing. Research of a population should always be for the benefit of the population, or of those that the population serves.
 - 1.3. Researchers do not place participants or communities in situations where they might be at risk of physical and/or psychological harm as a result of their participation. The safety and security of participants must be guaranteed at all times and should never be compromised. Research objectives can never justify or legitimize a risk.
 - 1.4. Researchers guarantee at the minimum the participants’ confidentiality. Participants are assured that identifying information will not be made available to anyone who is not directly involved in the research project. Confidentiality is clarified as part of gaining participants’ informed consent. Such provision should be understood and agreed upon by all parties at the beginning of the research project.

2. Certain principles apply in particular to community-based research projects. Cognizant of the various meanings of community-based research (CBR), the Code affirms the following characteristics for CBR:
 - Community situated – begins with a research topic of practical relevance to the community and is carried out in a community setting
 - Collaborative – community members and researchers equitably share control of the research agenda through active and reciprocal involvement in the research design, implementation and dissemination
 - Action-oriented – the process and results are useful to community members in making positive social change and to promote social equity.

In this light, a written agreement is usually entered into by the appropriate representatives from the community and the project proponents to govern their partnership.

- 2.1. The sovereignty of the community to make decisions about research in the community is recognized and respected. The strengths and culture of the community, including community researchers and staff, as well as material resources, must be respected and applied whenever possible. The community must be involved as a partner in the research project. Continuous consultation and collaboration with multiple stakeholders within the community characterizes this partnership.
- 2.2. All data collected belongs to the community and must be returned to the community upon completion of the research project. As a partner in the research project, the community must be involved in decisions involving the publication and distribution of all or parts of the research results. The community must agree to the release of any information about or arising out of the research project.
3. The University Ethics Committee resolves any ambiguities arising from the participation of human communities in the research process. It also specifies protocols for and certifies the ethical use of human beings as subjects in the research process. The responsibilities of the University Ethics Committee are specified in a separate document.

VI. Dealing with Human Subjects

The conduct of research may sometimes involve the use of human beings as subjects for tests and experiments, or as sources of data. At De La Salle University, this aspect of research is guided by the principles of beneficence and non-maleficence. Researchers and research organizations uphold the dignity, protect the rights, guarantee the safety, and preserve the well-being of human subjects.

The University recognizes the variety of research philosophies, approaches, and methods in practice, which have direct effects on the complexities of dealing with human subjects. Researchers and research organizations must formulate implementing policies and regulations governing the use of human beings in the research process (e.g., appropriateness in giving monetary incentives) suitable to their specific disciplines, and guided by the principles outlined in this section.

1. This section is governed by, as well as articulates and amplifies, the general principles discussed in the section “Dealing with Research Participants and Communities.” It is based on the ten basic principles deemed to be universally acceptable to research involving human subjects under the Nuremberg Code of 1949.
 - 1.1 Any research involving human subjects (including extraction of human blood samples, hair samples, DNA sequencing, images, and the like) must produce results that will benefit society, and that cannot be produced through any other means. It must be founded on results of research on non-human subjects and substantial base knowledge. Its anticipated results must justify conducting the research. Only scientifically qualified persons may conduct this type of research.
 - 1.2. The participation of human subjects in the research process must be wholly voluntary.
 - 1.2.1. Voluntary participation must be in the form of informed consent, and such consent must be appropriately documented, preferably in writing. Voluntary participation is impossible if human subjects are unaware of their participation in the research process.
 - 1.2.2. Informed consent includes, but is not limited to, being informed of aspects of the research process that will affect participants’ willingness to participate, as well as the manner and form in which the data gathered will be used, and by whom.
 - 1.2.3. Informed consent is continuously negotiated throughout the research process, rather than obtained in a single instance.
 - 1.2.4. Minors, students, and subordinates, as well as people in confined environments that limit participation (such as prisons or in residential care facilities), should not be compelled or pressured to participate in research.

- 1.3. Prior to their consent, human subjects must be informed of the reasonably foreseeable extent and effects of their participation. Such information must include the following: the nature and methods of the research to be conducted; changes to the research process that may occur during research; probable risks to participants, including risks to their privacy, as well as benefits that may result; the human subjects' access to data gathered and feedback on the results of the research; possible social and personal consequences of research publication; and consequences arising from disclosure of participating in illegal activity or criminal offenses.
- 1.4. Informed consent does not constitute a contract or obligation. Human subjects are entitled to withdraw from participating in the research process at any time, even after informed consent has been given. Human subjects must be informed of their right to withdraw their participation.
- 1.5. The individual circumstances of human subjects must be determined and documented prior to research. Individual circumstances include, but are not limited to: age, race or cultural background, gender, sexual orientation, or disability. These individual circumstances must be considered before, during, and after any research activity involving the human subjects.
- 1.6. The responsible conduct of research respects and upholds human subjects' rights to privacy. This includes the privacy of third parties who are mentioned or cited in the data gathered.
 - 1.6.1. The privacy of human subjects must be protected at all times by researchers, whether primary or secondary. Human subjects participating in the research process have the right to remain anonymous.
 - 1.6.2. Human subjects may waive their right to privacy, except in the case of minors or people who are mentally incapable of waiving their right to privacy. Guardians of such subjects may not waive their wards' right to privacy.
 - 1.6.3. If human subjects choose to remain anonymous or invoke their right to privacy, identifying data, such as names of persons and communities, residences, or geographical locations, must be removed from records and reports prior to publication.
- 1.7. The responsible conduct of research prioritizes the safety of human subjects.

- 1.7.1. Research projects must be designed to eliminate or minimize the risk of significant harm to human subjects. Unnecessary injury or suffering, whether physical or mental, must be avoided during the course of the experiment. Any risk or harm to human subjects resulting from the conduct of research should be offset by benefits that the study may provide to human subjects. Participants must be protected from death or injury.
 - 1.7.2. Harm includes, but is not limited to: physical or mental damage; loss of privacy; exposure to scorn or victimization; and social and psychological consequences such as losing self-esteem, being deceived, developing prejudices, etc. No research shall be conducted when there is a high probability of death or disabling injury, unless the researchers also serve as research participants.
 - 1.7.3. The researcher or research organization must be prepared to terminate the research if there is a high probability of death, injury, or disability to research participants.
2. When establishing and maintaining relationships with human subjects, researchers behave according to standards of professionalism appropriate to their disciplines and the nature of their research projects.
 - 2.1 In appropriate situations and circumstances, financial transfers from research organizations, research teams, or researchers to participating human subjects may be allowed. Research organizations, research teams, and/or researchers determine the appropriateness and permissibility of such financial transfers, which must then be documented and accounted for.
3. Any data gathered during the research process as a result of the participation of human subjects is always presented clearly and within the appropriate context. The risk of such data being misinterpreted should be minimized when it is reported or disseminated.
 - 3.1 “Data” includes human tissue or cell samples, DNA sequences, images, and anything that involves the physical composition of human subjects. The gathering of such data is governed by the same principles governing the gathering and use of other types of data.
4. The University Ethics Committee resolves any ambiguities arising from the participation of human subjects in the research process. It also specifies protocols for and certifies the ethical use of human beings as subjects in the research process. The responsibilities of the University ethics committee are specified in a separate document.

VII. Dealing with Animals in Research

The use of animals in research is governed by regulations to ensure and safeguard the welfare of the animals, and the general rule is that this must cause as little suffering as possible to animals. This includes the use of animals in the laboratory as well as their use in creative work such as filmmaking.

The three general principles in the use of animal for research are: replacement, reduction, and refinement.

- A. Whenever possible, higher animals are replaced with lower or insentient animals, insects, cell cultures, or non-animal models. Animals are only used when there is no other alternative.
- B. Research projects are designed to require and use as few animals as possible.
- C. Research designs are refined to decrease or minimize potential pain, suffering, or distress for animals still in use, as well as enhance animal welfare.

Research organizations and researchers ensure that the provisions in this Code pertaining to the treatment of animals in research are upheld and observed.

- 1. The treatment of animals in general is subject to the Animal Welfare Act of 1998 with implementing guidelines contained in the Department of Agriculture Administrative Order No. 40, while the use of animals in research is covered by the Philippine Association for Laboratory Animal Science (PALAS) Code of Practice for the Care and Use of Laboratory Animals.
 - 1.1 Animals must be used in research only when such use is necessary to further knowledge, ensure credibility of the research, and yield results that will benefit society.
 - 1.2. Designs for research projects involving animals must be guided by earlier results from mathematical modeling or simulation, and/or *in vitro* research.
 - 1.3. When researchers use animals for the study of infectious diseases, all precautions must be made to avoid the spread of the disease to the animal population, or to humans.
 - 1.4. All unnecessary suffering and injury to animals must be avoided during the research process. Researchers must terminate their projects when continuation may result in unnecessary suffering and injury to animals.

- 1.5. If experiments are likely to cause greater discomforts than those attending anesthetization, animals must be treated appropriately with analgesics. The only exceptions to this are cases where drug treatment defeats the purpose of the experiment and data cannot be obtained by any more humane procedures. Such experiments must be scrupulously supervised by qualified senior scientists.
 - 1.6 Researchers continue to care for animal subjects after the research project is completed, with measures to mitigate discomforts and consequences of any disability resulting from the research process, in accordance with acceptable veterinary practice.
 - 1.7. If euthanasia is deemed necessary by the research team leader, it must be accomplished in a humane manner using acceptable practices, and immediate death must be ensured. No animal should be disposed of until death is ascertained.
2. An animal care and use program must be crafted by academic departments or research organizations in which animals are extensively used for research.
 3. Funding Institutions may at times require a certified protocol for treatment of animals to accompany research proposals, and/or a certification of humane treatment of animals for the final research output. Publishers may also require the latter for papers submitted for publication. Researchers are responsible for obtaining such certifications from the appropriate professional organizations or government institutions. If this is not possible, they may apply for certification from the Ethics Committee of the University.

VIII. Ensuring Safety and Protecting the Environment

Researchers must be mindful of their own safety as well as that of their fellow workers, research subjects and participants, and the community at large during the conduct of their research. In general, safety is ensured when all researchers:

- are trained to properly handle equipment and materials;
- are trained to properly dispose or store the waste-products of their research projects;
- are aware of potential dangers to themselves and to those with whom they work, be it in the laboratory or in the field;
- are aware of the potential adverse impact of what they are doing to their community and to the environment;

- commit themselves to adhere to safe practices in the conduct of their research; and
- apply due diligence in the conduct of their research.

Danger to researchers and the community is markedly higher for research projects that involve the use and/or generation of toxic and hazardous materials, microorganisms, and genetic materials. Likewise, research projects that deal with wildlife have potentially adverse effects on the population and their ecosystems. Extra measures are taken to ensure the safe handling and the proper disposal or storage of hazardous items, micro-organisms, and genetic materials, to avoid over-collection of wildlife specimens, and to avert the introduction of non-native species in the research locale.

1. Because laboratories in the University are assigned to the care of the academic departments or research organizations, ensuring the safeness of these facilities is primarily the responsibility of these units.
 - 1.1. Research organizations and academic departments prepare and disseminate safety manuals or sets of guidelines for each laboratory under their supervision.
 - 1.2. Research organizations and academic departments provide safety data for all materials used in their laboratories.
 - 1.3. Research organizations and academic departments affix warning signs on:
 - equipment operating at high voltage;
 - equipment used to handle toxic and hazardous substances;
 - equipment used for microorganisms and/or genetic materials,
 - equipment dealing with radioactive materials;
 - storage facilities for radioactive materials;
 - storage facilities for toxic and hazardous substances/specimens; and
 - the doors of laboratories that deal with high voltage, microorganisms and genetic materials, radioactive, toxic, and other hazardous materials.
 - 1.4. Research organizations and academic departments regularly inspect laboratories to assess their safeness, to ensure that they comply with all regulatory requirements, and that all required safety and/or regulatory permits are obtained and are up-to-date.
 - 1.5. Research organizations and academic departments establish and implement guidelines for the disposal or storage of toxic and hazardous waste.

- 1.6. Research organizations and academic departments ensure that all researchers and support staff undergo safety training before they are allowed to handle high voltage equipment, radioactive material, microorganisms, genetic materials, toxic and hazardous substances.
 - 1.7. Research organizations and academic departments ascertain that all personnel and researchers dealing with high voltages, radioactive materials, microorganisms, genetic material, toxic and hazardous substances are equipped with proper safety apparel, patches, and gear.
 - 1.8. Research organizations and academic departments install safety equipment and devices to mitigate the risks of dealing with high-voltage electricity, microorganisms, genetic material, toxic fumes, radioactive materials, and hazardous substances.
 - 1.9. With the help of the Physical Facilities Office, research organizations and academic departments should establish a mechanism and provide the means to deal with accidents in the laboratories.
2. When conducting research in laboratories, researchers observe the rules, guidelines, and policies of research organizations and academic departments. They take extra measures to minimize or eliminate danger to their fellow researchers, research participants and subjects, and the environment.
 - 2.1. Researchers disclose the use of toxic and hazardous substance in their research projects; include procedures for the safe handling, disposal, and storage of toxic and hazardous materials in their research proposals; and have these disclosures and procedures certified by the Environment Board of the Ethics Committee.
 - 2.2. Researchers prepare protocols for dealing with wildlife. These protocols comply with the regulations of the Department of Environment and Natural Resources, and are certified by the Ethics Committee.
 - 2.3. Researchers undergo safety training before they handle high-voltage or otherwise dangerous equipment, or use radioactive, toxic, and hazardous substances in their research projects.
 - 2.4. Researchers wear appropriate safety apparel, patches, and gear whenever they are in the laboratory.

- 2.5. Researchers strictly adhere to the established plans for the handling, disposal, and storage of toxic and hazardous materials as certified by the Ethics Committee.
3. When researches are conducted in the field,
 - 3.1 the research team must administer precautionary safety measures for all researchers and research participants
 - 3.2. the research team must not expose researchers and research participants to unnecessary risks
 - 3.3. the research team and researchers must avoid over-collection of wildlife specimens, and to avert the introduction of non-native species
 - 3.4. researchers must avoid taking unnecessary risk
4. For researches dealing with microorganisms and/or genetic materials, permission to conduct the particular research project, and approval of research procedures or protocol must first be secured from the University Ethics Committee.
5. The waste management plan of the university, which covers the disposal and/or storage of toxic and hazardous waste, is managed by the Physical Facilities Office. Any certification that researchers may need regarding the disposal of waste materials generated by research projects must be secured through the said office.
6. Like all members of the academic community, researchers and research organizations must comply with the incident management plans and procedures of the University.
 - 6.1 When accidents happen in laboratories (ex.: fire, explosions), the appropriate incident management personnel must be informed promptly.
 - 6.2 When emergency drills or emergencies outside the laboratories occur, researchers must quickly ensure the safety and security of the laboratories before they vacate the premises.

IX. Completion and Dissemination of Research

In the pursuit of excellence, researchers at De La Salle University are committed to the completion of their research projects. Completion is defined as the following:

- the acceptance and approval by the funding organization or agency of an accomplished research report;
- the liquidation of and accounting for all funding provided for the research project; and
- the dissemination of the research results in appropriate venues, in appropriate forms and languages.

Non-completion of a research project is acceptable only in cases where the continuance of the research project has become impossible, impractical, or irrelevant; or is terminated by forces beyond the control of the researcher(s) and the research organization. The University commits itself to maintaining mechanisms to provide all possible assistance in the completion of research projects.

Dissemination of the research results is an integral part of the research process, and no research project is deemed truly complete until this has occurred in all feasible ways. The University, under the principle of generosity, commits itself to the responsible sharing of knowledge with the immediate academic community and the rest of the world.

1. The responsible dissemination of research involves the following principles and guidelines.
 - 1.1. Research proposals and reports must state clearly to which publics the research is to be disseminated. The University commits itself to encouraging dissemination by providing opportunities for and assistance in disseminating research results.
 - 1.2. Research results may be disseminated in part or wholly, as deemed appropriate by the researcher or research organization.
 - 1.3. Dissemination of research results must be in forms and media that will be available to the relevant publics for at least ten years. If the media allow it, the results must be searchable within various parameters, such as keyword, topic, author, date of research, etc.
 - 1.4. Dissemination of research results must observe all University standards and formats of identification and attribution, as well as referencing and acknowledgment. Internal dissemination of research results must be in the standard format specified by the University. External dissemination of research results must be in the appropriate or specified format.
 - 1.5. Dissemination of research results must be conducted in a timely fashion; that is, within the period in which the research results remain current, relevant, and useful.

- 1.6. Dissemination of research results should be conducted within the University, and outside it. Dissemination includes, but is not limited to, the following:
 - publication, which is discussed in a separate section;
 - presenting papers at conferences;
 - delivering public lectures;
 - conducting workshops;
 - mounting public exhibitions or multimedia presentations;
 - participating in research colloquia;
 - presenting results in mass media such as television, radio, and the Internet; and
 - presenting results to government, industry, and policy-makers
2. Internal dissemination refers to dissemination of research results within the University.
 - 2.1. All research output, whether in part or wholly, as a result of undergraduate and graduate level work, as well as from research grants, must be disseminated internally within a reasonable time and in an appropriate manner as part of the research process.
 - 2.2. The University commits itself to providing sufficient internal venues and mechanisms at all levels and in all areas for disseminating research results internally.
3. External dissemination refers to dissemination of research results outside the University.
 - 3.1 Researchers and research organizations understand that external dissemination involves becoming University representatives to the rest of the world, and are expected to conduct themselves in accordance with the values and principles of the University.
 - 3.2 Researchers/research centers and institutes should appropriate security in the external dissemination and management of their researches, including those made available in computer systems. Necessary measures must be applied to protect against plagiarism, misrepresentations, and the like.

X. Publication

An element that is of paramount importance in the research process is the dissemination of research findings to the appropriate stakeholders and/or community. Through dissemination, benefits deriving from the research findings passed on to other researchers and offered to the wider community. Dissemination also affords researchers and research organizations a means by which their work can be vetted by fellow researchers from the same field. This can also break fresh ground for research when viewed by other researchers within and outside the researcher's area of expertise.

The research process is not deemed completed unless it has been fully reported to its stakeholders and the community. Reporting is usually done through publication in peer-reviewed journals, in the form of books or part of it, and/or presentation in conferences held by professional organizations. Contemporary publications are no longer limited to those works that are actually printed on paper, but also include those that are digitally published such as on CDs or DVDs, and in online journals. In instances where research projects are funded by external agencies or commercial interests where confidentiality is required, researchers and research organizations must either submit the report solely to their sponsors, or prepare a separate, more complete report for their sponsors, until reasons for such confidentiality have been removed. On the other hand, when research outcomes may have immediate impact on the wider community, presentation in a public forum is warranted.

While full reporting is expected at the end of a project, sponsors of a project often expect regular submission of progress reports. In the case of projects that extend for many years, particularly for projects that command great interest, it is not only admissible but even expected of researchers to report on their ongoing projects regularly in conferences, public forums, and publications.

Presentations in conferences or public forums are the fastest way to disseminate a research output. However, publication, particularly in abstracted peer-reviewed journals, is the best way to disseminate the work. While the publication process can be excruciatingly slow, a published work is not limited by time constraints, so full disclosure of research results becomes possible. Writing can be pored over again and more fully taken in than spoken words, so publication offers the best way for the work to undergo scrutiny by peers. The review process that makes publication slow is actually the best means by which a fresh mind can take a look at the research and offer ways of improving the work. Written work persists over time, making it accessible to more people than those who were in attendance during a conference.

Aside from benefiting others, disseminating research also make researchers better known worldwide, help researchers to build their research track record, to establish partnerships and collaborations, and on the whole improve their academic careers.

1. The University encourages publication by its faculty in two primary ways.
 - 1.1. The University offers research and publication incentives to encourage the conduct and publication of research.
 - 1.2. The University publishes peer-reviewed journals that cater to various disciplines. These journals serve as developmental tools for the academic community to hone its publishing skills, and also as a way of announcing the University's status as a research university.
2. In preparing and submitting research papers for publication, researchers must be guided by the principles of excellence, truth, and integrity and professionalism.
 - 2.1. Researchers disseminate their research in a timely manner after completion of the research project. If they are not hindered by confidentiality agreements, they should strive to publish these in abstracted peer-reviewed journals, as this is the most desirable way of having the research vetted by colleagues and to make the full research outcomes accessible to as many interested parties as possible.
 - 2.2. Researchers report on their work as fully as possible, subject to limitations set by confidentiality agreements with sponsors and research participants, intellectual property issues, or when some information involve sensitive social matters.
 - 2.3. Researchers describe their research accurately and truthfully and disclose the research process as fully as possible.
 - 2.4. Researchers include all findings, including those that may be contrary to their beliefs, expectations or hypotheses.
 - 2.5. Researchers appropriately cite other people's work and avoid misrepresenting other people's work or results as the researchers' own.
 - 2.6. When researchers repeat what they said in a previous work, the statement is no longer original and thus the previous work must be cited accordingly.
 - 2.7. Researchers obtain permission from the copyright owners of any borrowed material such as images, graphs, diagrams, tables, or data included in their paper.
 - 2.8. Researchers acknowledge all sources of funding or other material support, host institutions, and other researchers whose contributions to the work are not substantial enough to merit co-authorship.

- 2.9. Research papers are published in journals that are most accessible to those who benefit most from it.
- 2.10. Submitting the same research paper to several publications at the same time is a practice that usually leads to the professional black-listing of the authors, and ruin their careers. Even if written differently, papers that are substantially alike are not submitted to different publications at the same time. However, if a paper has been rejected by an editor, the same may be submitted to another publisher for consideration—although different publications may have different editorial policies that could require the rewriting of the original paper.
 - 2.10.1. If the researcher decides to submit the same paper to several publications at the same time, he/she must ensure that each one of the editors are properly informed.
 - 2.10.2. If a paper submitted to several publishers at the same time is accepted by more than one, the author must select only one publication and make sure to withdraw the paper from the other publishers.
- 2.11. Negative peer reviews must be viewed not as obstacles, but as a channel to improving the work. Researchers must endeavor to address feedback received from peer reviewers.
- 2.12. Researchers provide copies of their publications to all stakeholders of the research project disseminated, including their sponsors, research participants, and the University.
- 2.13. If research papers are unable to undergo a peer-review process because of confidentiality agreements binding the research, the sponsor must be informed.
- 2.14. If any inaccurate or misleading statements in a published or soon-to-be-published research paper come to the attention of the authors, they must submit corrections or restatements to the editors of the publication as soon as possible.

XI. Authorship

When research is conducted by a research team or a group of people, the authorship of the research output must be appropriately and correspondingly distributed among the members of the research team or the group. The authorship of a scholarly or creative work is at the same time a recognition of the substantial intellectual contribution of individuals involved in the project, and an acknowledgement of these individuals' responsibility to the aspects of the work to which their contributions are attributed. It is therefore imperative that all qualified persons be included in considerations, statements, and acknowledgments of authorship. Conversely, all identified authors must have expressed their consent to be included as authors.

A widely-adapted simple set of rules for determining authorship is the Vancouver Protocol* which states that in order to be credited as an author, each and every author on a publication needs to have been involved in ALL of the following:

- A. Conception and design, or analysis and interpretation of data
- B. Drafting the article or revising it critically for important intellectual content
- C. Final approval of the version to be published.

In the University Policies on Intellectual Property, an author is defined as “the natural person who originates, gives existence to or expresses an idea and transforms it into more tangible form under copyright law.”

The Philippines IP Code on Copyright affirms the moral rights of an author as related to an author's copyright. Moral rights, distinct from economic rights, must be recognized and upheld. Researchers must comply with copyright law and as potential authors should likewise be cognizant of other authors' moral rights. (See IP Code on Copyright, Chapter X, Moral Rights.)

Authorship of a research output is not limited to the persons who did the actual writing of the output, but includes all those who have made substantial intellectual contributions to the research work. The amount of contribution that researchers have made to the project is the basis for their places in the list of authors. It must be noted, however, that the appreciation of this list varies with disciplines and countries. But no matter how the final list appears, it must be one to which all the authors agreed.

1. Researchers are advised to consider the following guidelines for authorship when attributing authorship for a research output or publication.
 - 1.1. Because a research output is an intellectual product, authorship in a research project must be based on an individual's intellectual contribution that is substantial enough for him/her to take public responsibility in the following aspects of research:

- the conceptualization and design of the work or study;
- the development of equipment or instruments to collect data;
- the development of novel sampling design, sample production or specimen collection process;
- the use of unique talent in sampling design, sample production or specimen collection
- the writing of computer programs to collect and process data, or to compute, model, or simulate;
- the processing, analysis, and interpretation of data;
- the development of prototypes;
- the formulation of an axiom, a fundamental principle, a core idea, a theory, a model, or an explanation;
- providing insights that lead to the solution of the research problem;
- working through the reasoning, deductions, or explanations;
- drafting significant parts of the final report; and
- critical revisions of the draft.

1.2. On the other hand, the following contributions on their own do not merit rights to authorship:

- the mechanical collection of samples or gathering of data;
- soliciting funds for the project;
- providing financial or material support;
- providing technical support, such as assembling, maintaining, or repairing equipment;
- supplying technical data by simply operating a machine without providing substantial analysis;
- text-editing, drafting diagrams and tables, and word-processing, designing, or typesetting of the research output;
- the administrative supervision of the researchers, such as being the head of the academic unit involved;
- the administrative supervision of the research facilities, such as being the laboratory coordinator/supervisor; and
- the administrative supervision of the research project, such as being the head of a research organization or academic unit involved.

1.3. All researchers, including research assistants and research trainees, who meet the criteria listed above must be included as authors. On the other hand, people who do not meet the criteria above should not be offered authorship.

Granting or receiving an ‘honorary authorship’, that is, when a person is listed as an author even if he/she does not have a significant intellectual contribution to the work, is unacceptable.

- 1.4. Consent to be included as authors must be obtained from all authors of a research output.
- 1.5. People whose contributions to the research work were not significant enough to merit authorship can, upon their consent, be included in the acknowledgments section of the research output.
- 1.6. A group of authors must designate the principal or first author and the corresponding author, and come to an agreement regarding the order of authorship.

In standard practice, the person who contributed the most to the research work is also accorded the privilege of writing major portions of the draft, and is granted first or principal authorship. In most instances, the principal author also serves as the corresponding author, or the author who communicates with the publisher.

If the research team decides to deviate from the above standard practice, they must first secure the approval of their department’s/college’s/ research center’s ethics or research committee.

- 1.7. Writing proficiency and submitting research output for publication are skills that the University seeks to develop among its students. Thus, for works derived mainly from a student’s project, thesis, dissertation, or any other work for which the student earned credit for the academic degree, the student must be designated as the principal author if sole authorship is not appropriate. Even when sole authorship is granted to the student, the research adviser must continue to mentor the student in writing the paper.

If the student and his/her mentor come to an agreement that the student will not be the first author, approval from the department research or ethic committee must be obtained.

- 1.8. It is wise to have the senior author maintain signed acknowledgment of authorship for all research reports. This document states the substantial intellectual contribution of each author, and carries the signature of all authors. A faxed or emailed consent is an acceptable alternative when original signatures cannot be obtained.

- 1.9. Disputes regarding authorship are resolved first by the group of researchers, mediated by the department chair if all researchers belong to a department, the dean of the college if the researchers belong to different departments within a college, or by the URCO director if the researchers belong to different colleges. If the case involves researchers who are not members of the University, the Vice Chancellor for Research or a person designated by him/her shall assist the University's researchers in the negotiation. If a negotiated resolution cannot be reached, the issue may be elevated to the University's Ethics Committee.

XII. Management, Retention and Storage of Data and Materials

Data management practices should consider four important issues: (1) ownership, (2) collection, (3) storage, and (4) sharing. Data collection and ownership guidelines have been discussed in earlier sections; hence, this section will focus on Data Storage and Data Sharing.

1. Data Storage

Data must be stored safely, in a way that permits a complete retrospective audit if necessary. Retention of accurately recorded and retrievable results is essential for the responsible conduct of research. This is necessary not only as a means of demonstrating good research practice, but also in situations where questions are subsequently asked about either the conduct of the researcher or about the results obtained.

- 1.1 Laboratory notebooks and/or journals should be stored in a safe, secure place.
- 1.2 Computer files should be backed up and the backup data saved in a secure place that is physically removed from the original data.
- 1.3 Research samples should be appropriately saved and/or preserved so that they will not degrade over time.
- 1.4 Laboratory-based data must be retained in indexed laboratory books and, where appropriate, supervisors should regularly review and certify such laboratory books to signify that research records are complete and accurate.
- 1.5 Precautions must be taken to reduce the risks to research data from fire, flood, and other catastrophic events.

2. Data Sharing

Researchers and research organizations do not release preliminary data; i.e., data that has not been carefully verified and validated. Provided no contradictory agreements have been made, researchers and research organizations can withhold confirmed or validated data until the relevant research output has been published.

2.1 Researchers and research organizations are expected to share with other researchers and research organizations, at no more than incremental cost and within a reasonable time, the primary data, samples, physical collections, and other supporting materials gathered or inventions created in the conduct of research. Researchers and research organizations are expected to encourage and facilitate such sharing, subject to pertinent codes and guidelines, such as those governing intellectual property, confidentiality, and privacy.

2.2 Data Confidentiality

The Principal Investigator/Researcher must ensure the research team is aware of any confidentiality provisions applying to specific projects and whether there are any obligations pertinent to these provisions. Some data are collected with the understanding that only authorized individuals will use them for specific purposes. Data that are subjected to privacy restrictions must be stored in a safe, secure place that is accessible only to authorized personnel. Instead of using names, the use of random codes to identify individual subjects is recommended. The researcher who collects or uses the information has the primary responsibility for its protection.

2.3 Data Retention

Data must be retained intact in formats appropriate to the nature of the research project. Data should be retained for a reasonable, appropriate period of time to allow other researchers to check results or to use the data for other purposes. Where funders or professional bodies have specific regulations governing the period of data retention or the location of data retention (e.g., specific archives), these regulations shall prevail.

2.3.1 Researchers who are leaving the University and who wish to retain research data or copies of research data that are owned by the University or are intellectual properties of the University for personal use must obtain written permission, prior to leaving, from the research organization and/or academic unit involved. Where personal data is processed in connection with the research project in question, the request must be refused unless it is clear that future use will be consistent with the terms of the research participants' original consent.

XIII. Peer Review

Peer review refers to the thorough, fair, and objective evaluation of components of the research process by experts in the area or discipline pertinent to the review subject, and is an essential component of the conduct of research. Decisions on components of the research process, particularly the funding of research proposals and the dissemination of research results, must be based on peer review.

De La Salle University recognizes peer review as a critical factor in maintaining a culture of excellence and collegiality in the responsible conduct of research.

1. To maintain ethical standards and uphold the principle of excellence, peer review should be conducted on all research proposals, research reports, materials prepared or submitted for dissemination, research protocols, and research programs performed by researchers. Peer review is also a standard component in processes such as the arbitration of project financing, acceptance of publications, screening and selection of applicants, and the evaluation of groups, departments, and organizations.
 - 1.1. The review process is tailored to the level of review, to characteristics of the program/project being reviewed, and to the purpose and goals of the review. Research organizations are responsible for customizing and managing the review process according to the needs of the disciplines or areas within their purview.
 - 1.2. All research proposals are assessed against the same set of consistent and explicit standards, and the process and procedures applied are open and transparent. The University and pertinent research organizations ensure that review subjects are fully informed of the review process and its outcomes.
 - 1.3. Codes and policies governing conflicts of interest apply to the peer review process. Transparency is maintained throughout the process. Conflicts of interest are resolved or managed using mechanisms established by the University and pertinent research organizations.
 - 1.4. Research organizations and academic units in the University create and enforce guidelines for the writing of peer reviews to ensure that these are substantial, comprehensive, and detailed.
 - 1.5. Contact with peer reviewers initiated by review subjects is prohibited. The identity of peer reviewers is withheld from authors or review subjects whenever necessary.

- 1.6. Peer reviewers operate under the principles of honesty and transparency, and must not derive unfair competitive advantage from the reviewing process and from their knowledge of other researcher's ideas or research plans.
- 1.7. Peer reviewers are obliged to protect the work of review subjects. Information pertaining to a review process is circulated only among pertinent parties, and the identities of those with whom information is shared is made known to those managing the review process. Material under review is not copied, retained, transmitted, or used in any manner by the reviewer outside the review process unless specifically permitted by the reviewing organization and the owner of the material.
- 1.8. Peer reviewers, once they have committed to the review process, are obliged to perform their tasks and submit their reviews promptly.
- 1.9. Researchers adopt an appropriate attitude towards the peer review process. They recognize the importance of the peer review process, participate productively in it, and honor its outcomes.

XIV. Breaches in the Code for the Responsible Conduct of Research

All members of the University are duty-bound to formally report misconduct in research to the heads of the appropriate and/or pertinent units. Allegations made against a University staff member or employee will be handled in accordance with University regulations. Complaints that a researcher has not acted responsibly in the conduct of research requires action that includes the following steps:

- The complainant submits a written complaint to the appropriate and/or pertinent unit head.
- The unit head conducts a discreet investigation of the particulars of the complaint.
- The unit head and/or the unit's ethics committee set a formal inquiry.
- The unit head and/or the unit's ethics committee impose a sanction or a penalty after thorough investigation and deliberation.
- The unit head and/or the unit's ethics committee recommend action to remedy the situation.
- The unit head advises expert groups and make appropriate public statements related to the case.

In some cases, such as when the complaint cannot be sustained or when the researcher concerned concedes, the response may not require all of the above steps. It is preferable that, in the first instance at least, complaints and allegations are dealt with at the level of research organizations and/or academic units. If the complaint cannot be settled to everyone's satisfaction at this level, the formal complaint or allegation may be elevated to a higher level mutually agreed upon by the parties concerned. At this higher level, the authority concerned may consult the University Committee on Ethics and Intellectual Property on the appropriate or necessary process for determining whether a prima facie case exists.

Furthermore, individuals who deem themselves unable to raise their complaints with the supervisors or heads of the research organizations and/or academic units must be able to submit their concerns to an appropriate senior officer of the University. A prompt and effective response is required in every case of allegation of deviation from this Code. All affected parties must be treated fairly, the situation remedied, and appropriate steps taken to maintain public confidence in the conduct of research in the University.

The term *breach* is used for less serious deviations from this Code that are appropriately remedied within the University (as defined by the Australian Code for the Responsible Conduct of Research). The term *research misconduct* is used for more serious, deliberate deviations (as defined by the Australian Code for the Responsible Conduct of Research). For the purposes of this Code, misconduct in research includes any deviation of this Code that includes, but is not limited to, the following:

- fabrication of results;
- falsification or misrepresentation of results;
- plagiarism;
- misleading ascription of authorship;
- unauthorized use of another person's research data, materials, or writing;
- unjustified destruction of research materials;
- deception/misrepresentation in relation to research proposals;
- financial fraud;
- misuse of research funds;
- failure to declare and/or manage serious conflicts of interest;
- falsification or misrepresentation to obtain funding;
- risking the safety, security, and/or well-being of research participants, whether human or non-human, and/or the environment;
- deviations from this Code that occur through gross or persistent negligence; and/or
- willful concealment or facilitation of research misconduct by others.

The framework in this part of the Code is designed to guide investigations into the veracity of allegations about research misconduct. The need for a framework specifically for the investigation of research misconduct arises (1) because the issues commonly associated with research are complex and technical; (2) because third parties, such as collaborators, publishers, and potential beneficiaries of the research, will usually be from outside the University; and (3) because it is necessary to assure the public that researchers and their organizations regard research misconduct as a serious matter.

The research misconduct framework contained in this Code is designed to determine findings of fact and what, if any, research misconduct has occurred. This research misconduct framework does not address disciplinary issues.

The findings of fact and any determinations of research misconduct arrived at through processes that comply with this Code must then be used within the University's separate policies and procedures governing and regulating employment conditions.

Misconduct unrelated to the research process is not research misconduct and falls outside the scope of this Code.

XV. Amendments or Revision

Amendments or revisions to the Code of Research Ethics and Guide to Responsible Conduct of Research may be done within the first four terms (i.e., 3rd term AY2011-2012 to end of 3rd term AY2012-2013) after its effectivity. Beginning the first term of AY2013-2014, the Code and Guide shall be reviewed every two years. Any university employee, academic and non-academic, student or any member of the academic community may propose changes to the Code and Guide by writing a letter addressed to the Vice Chancellor for Research (VCR), specifying the proposed change/s with an explanation of the reasons or justifications for the proposed change/s. The VCR shall keep a record of all proposed changes which will then be submitted to the University Research Council for discussion.

The University Ethics Committee

The overall responsibility for ensuring that research is subject to appropriate ethics review and approval is entrusted to University research faculty, staff, research centers and institutes. The University, through established mechanisms such as research councils, have the immediate task to develop policies and procedures that ensure and maintain ethical and safety requirements. The policies and procedures must be consistent with the ethical guidelines at the least of existing national scientific and professional organizations that govern research in a given discipline. It is fundamental that all research involving human participants is conducted in a way that protects all people involved in the research, the participants, the researcher and the University. When research activities involve human or animal subjects or work in which ethical issues are inherent and require higher intervention, the researchers and other units doing research may elevate and submit ethical cases and issues to the University Ethics Committee.

1. The University Ethics Committee is the highest body tasked to govern the ethics of research across the University. Cognizant of the University's pursuit of its research function, the Committee ensures the protection of the rights, dignity, health, safety and privacy of human subjects, the welfare of animals, and the integrity of the environment. In the same vein, it strictly upholds the health, safety, rights and academic freedom of researches and the reputation of the University as an institution of high-quality research.
2. The first stage of ethical review should be done at the level of the research councils. Research proposals are considered completely processed and approved only when ethical considerations have been examined as posing no dilemma by the councils. Proposals that present important ethical consideration and deliberation should be elevated to the University Ethics Committee. Researches that have important ethical implications and may need intervention from the University Ethics Committee for example are:
 - where the research involves human subjects, particularly children and vulnerable adults
 - where the research uses human data or human material
 - where there are serious health and safety implications
 - where animal experiments are involved
 - where there is a risk of damage to the environment
 - where the impact of the research may be emotionally damaging
 - where the research is politically or socially sensitive
 - where the source of funding for the research has the potential to compromise the University's position as a publicly funded charitable body
 - where microorganisms and/or genetic materials are used.

3. The University Ethics Committee is headed by the Vice Chancellor for Research with the following as members: the Vice Chancellor for Academics, two University Fellows, University Legal Counsel, two external experts on ethics, and an invited senior representative of the proponent's sector, (e.g., a Faculty Association representative for a faculty, an ASF representative for an ASF proponent). The University Ethics Committee is convened by the Vice Chancellor for Research.

The Committee shall have the right to formulate further guidelines and procedures for securing ethical review and clearance. The Committee may seek advice and assistance from experts involved in the field or area of research of a proposal under consideration or knowledgeable about contentious issues arising from current trends and developments. The Chair should ensure that experts have no conflict of interest in relation to the proposal or issues to be taken up.

References

Dench, S., et. al., 2004. *An EU Code of Ethics for Socio-Economic Research*. The Institute for Employment Studies. European Commission's Information Society Technologies (IST) Programme.

Ying, S., Xiangdong, D., 2009. *Research on Principle and Strategies in Building High Performance Project Team Based on Synergetic*. The 1st International Conference on Information Science and Engineering.

Australian Code for the Responsible Conduct of Research.

Code of Research Ethics as adapted by the Alaska Native Science Commission from the Kahnawake Schools Diabetes Prevention Project.

General Guidelines for Research Ethics, De La Salle University-Manila, approved by the University Research Council on January 22, 2007.

Policies on Intellectual Property. De La Salle University-Manila.

Research Code of Conduct. The University of Warwick.

Working Draft of Code for the Responsible Conduct of Research compiled by URCO, with contributions from CENSER, CESDR, CBERD, LIDER, BNSCWC, MFCLOH on relevant sections.

<http://www.socialresearchmethods.net/kb/ethics.php>

<http://www.aare.edu.au/ethics/ethcfull.htm>

http://www.ukrio.org/sites/ukrio2/the_programme_of_work/live_document_code_of_practice_for_research/3_0_standards_for_organisations_and_researchers/3_11_finance.cfm

http://www.nast.ph/index.php?option=com_content&view=article&id=18, "Ethical Principles and Guidelines for Filipino Scientists"

http://www.nast.ph/index.php?option=com_content&view=article&id=76:resolution-on-mentoring&catid=44:resolutions-and-recommendations, "Resolution on Mentoring of Students and Young Scientists"

<http://aoir.org/reports/ethics.pdf>