

AMS ARTS & SCIENCE COLLEGE FOR WOMEN

GUIDELINES TO CODE OF ETHICS

Research misconduct is defined as fabrication, falsification, or plagiarism including misrepresentation of credentials in proposing, performing, or reviewing research or in reporting research results. It does not include honest error or differences of opinion. Misconduct as defined above is viewed as a serious professional deviation that is subject to sanctions imposed both by the University by many professional associations and in the case of funded research, the respective funding agency.

These guidelines can be used as a common repository of generally accepted practice for experienced researchers and as an orientation to those beginning research careers. Although some of these principles apply to all fields of research including scientific research, social and behavioral sciences that involve collection and interpretation of data. These materials can be adapted or specified in a more particular form appropriate for each scholarly discipline or academic unit. In fact, many academic units have developed excellent handbooks on research ethics and integrity. When in doubt about the accepted ethical standards in a particular case, a researcher should discuss the matter on a confidential basis with an academic supervisor, another respected colleague, or the Dean of Research of the University.

MATTERS OF ETHICAL CONCERN IN RESEARCH

1. Plagiarism

Applies to reviews and to methodological and background/historical sections of research papers as well as to original research results or interpretations. If there is a word-for-word copying beyond a short phrase or six or seven words of someone else's text, that section should be enclosed in quotation marks or indented and referenced, at the location in the manuscript of the copied material, to the original source.

The work of others should be cited or credited, whether published or unpublished and whether it had been written work, an oral presentation, or material on a website. Each journal or publisher may specify the particular form of appropriate citation.

2. Use and Misuse of Data

If some data should be disregarded for a stated reason, confirmed by an approved statistical test for neglecting outliers, the reason should be stated in the published accounts. A large background of negative results must be reported. Any intentional or reckless disregard for the truth in reporting observations may be considered to be an act of research misconduct.

3. Ownership of and Access to Data

Reasonable access to data, should normally not be denied to any member of the research group in which the data were collected. If there is any possibility that a copyright or patent application might emerge from the group project, a written agreement within the group should specify the rights, if any, of each member of the group to the intellectual property. A researcher who has made a finding which may be patentable should file an Invention Disclosure with the Office of Technology Management.

Each student, postdoctoral fellow, or other investigator in a group project should come to an understanding with the research director or principal investigator, preferably in writing, about which parts of the project he or she might continue to explore after leaving the research group. Such an understanding should specify the extent to which a copy of research data may be taken. Co-investigators at another institution are entitled to access the data which they helped to obtain.

4. Authorship and Other Publication Issues

a. Criteria for Authorship

Since academic work is informed by a multitude of sources offering concepts and information, it is essential to emphasize rightful acknowledgement in the presentation of ideas and the publication of manuscripts. Authorship should be awarded only to those persons who have made an original and significant contribution to the conceptualization, design, execution and interpretation of the published work.

Individuals who have made smaller contributions by for instance giving advice, performing analyses or providing subject material, or who have supported the research in some other way, should also be acknowledged.

In the case of co-authorship, questions arise as to the criteria for inclusion as author, the ability of each author to evaluate all aspects of the study and the sequence of the list of authors. Authors should discuss these questions openly and should make appointments before undertaking a co-author project.

Each author or co-author is responsible for the compilation, revision and verification of those parts of the manuscript, publication or presentation representing his/her contribution. All co-authors are entitled to making their own copies thereof, including figures and attached documents.

In factual or scientific reports, authors should go out of their way to quote applicable data, including those data not supporting the hypothesis proposed. It is the responsibility of the author(s) to be *au fait* with other appropriate publications and to quote from them.

It is unethical, and harmful to the academy, to present as one's own the work of others, whether in part or in full, to fabricate research results or to omit or change information.

Authors who wish to quote information obtained at a personal level or from unpublished written material should obtain written permission from the source.

It is inappropriate and unacceptable to submit extracts from research, or reports on the same research, to more than one publisher, unless such action has been approved by the editors of each publication or multiple submissions is the acceptable standard practice in the specific discipline or field. In the complete report on the work in question, reference should be made to preliminary extracts from work that has already been published.

b. Self-citations

In citing one's own unpublished work, an author must be careful not to imply an unwarranted status of a manuscript. A paper should not be listed as submitted, in anticipation of expected submission. A paper should not be listed as accepted for publication or in press unless the author has received galley proof or page proof or has received a letter from an editor or publisher stating that publication has been approved, subject perhaps only to copy-editing.

c. Duplicate Publication

Researchers should not publish the same article in two different places without very good reason to do so, unless appropriate citation is made in the later publication to the earlier one, and unless the editor is explicitly informed. The same rule applies to abstracts. If there is unexplained duplication of publication without citation, sometimes referred to as self-plagiarism, a reader may be deceived as to the amount of original research data.

An author should not divide a research paper that is a self-contained integral whole into a number of smaller papers merely for the sake of expanding the number of items in the author's bibliography.

6. Obligation to Report

a. Correction of Errors

If a finding of error, either intentional or inadvertent, or of plagiarism should be made subsequent to publication, the investigator has an obligation to submit a correction or retraction in a form specified by the editor or publisher.

7. Responsibilities of a Research Investigator

An investigator who leads a research group has leadership and supervisory responsibilities with respect to the research performed by members of the group. A principal investigator must not only put together the research group but also arrange for the assembly of an adequate financial and administrative structure to support the research.

An investigator serves not only as a research manager with respect to members of the research group but also as a mentor responsible for the intellectual and professional development of graduate students, postdoctoral fellows, and junior faculty in the group, including awareness and sensitivity to issues in research ethics.

A researcher should be open to collaborative work with investigators having different but complementary skills at the University.

8. Responsibilities to Funding Agencies

An investigator should be aware that the same standards of accuracy and integrity pertain to grant applications and proposals as to manuscripts submitted for publication. Reporting of results of experiments not yet performed as evidence in support of the proposed research funding, for example, is considered to be fabrication and is subject to a finding of research misconduct, even if the proposal is subsequently rejected for funding or is withdrawn before full consideration for funding is completed. The same definition of plagiarism applies to an application or proposal, including background and methodological sections, as to a publication.

An investigator must submit progress and final research reports to a sponsor at times specified in the award. He or she must authorize expenditures in a manner consistent with the approved budget and should review financial reports carefully.

Investigators, who enter into agreements with commercial sponsors of research, as negotiated by the Office of Research, should familiarize themselves with the special terms of such agreements, such as those, for example, concerning reporting of results, disclosure of inventions, and confidentiality. Failure to comply with the provisions might sometimes constitute a breach of contract or might compromise the University's claims to intellectual property.

