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Office of the Vice President for Academic Affairs

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**REQUESTED BOR ACTION:**

**ADOPTION OF THE CODE FOR THE RESPONSIBLE CONDUCT OF RESEARCH**

**BACKGROUND:**

*The Current Context:*

- The post-World War II period witnessed the “exponential expansion of the higher education system, especially its research apparatus”<sup>1</sup>. This support yielded a harvest of “countless” discoveries and innovations in a wide range of areas—e.g. developments in the medical and biological sciences concerned with health, food and genes; developments in physics and astronomy that led to lasers, radar, transistors, MRI technology; developments in the earth sciences that advanced our understanding of earthquakes, volcanoes, hurricanes, global warming and ozone depletion; and the birth and growth of computer technology, the internet, nanotechnology, artificial intelligence, global positioning system etc. In turn, the remarkable inventions of the last 50 years have reinforced within the development community the view that technological innovations and national global competitiveness depend on research conducted in universities even if research institutions that are not part of universities have produced significant technological innovations in countries like Germany and France.
- The practices and achievements of research universities have since been codified. For instance, publications in peer reviewed journals—further operationalized as indexed journals with varying impact factors—has become a global standard. Research findings gain credibility only if they have been published and reviewed by peers. Initially applied to research in science and technology, academics in other branches of knowledge increasingly adopted these standards. The social sciences present a case in point. In the 1970s, quantification and acceptance of a positivist philosophy of science were conditions for acceptability of some social science disciplines as members of the US National Academy of Science and Technology.
- Until recently, the rationality of the Enlightenment—as reflected in the power of knowledge and science—held sway throughout the post-war era. How scientists and other experts know and validate what they know to render them factual did not

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<sup>1</sup> Burawoy, Michael (2012). Featured Review Essay ‘The Great American University’. *American Sociological Association*. DOI:10.1177/0094306112438187 <http://cs.sagepub.com> pp. 140-141..

diverge significantly from what makes citizens accept claims of fact. Scientific claims may not have been accepted by some segments of the population in developing societies but the role of scientists and experts in defining reality was taken for granted.

- The last few decades, however, witnessed the coming of age of post-truth politics, alternative realities and the fabrication of facts. More than the fabrication of facts, what may be disconcerting is the “death in the belief” in fact and the relegation of truth or facts to secondary importance.
- Against this backdrop, public trust in science and universities is said to be eroding in more economically advanced societies like the United States. Restoring trust requires continuing proof of the impact of scientific research through its translation into innovations and technologies.

#### **RATIONALE:**

- Research integrity is the foundation of trust within the academic scientific community that enables its members to build on each other’s work, leading to impactful research. Building on research that has no integrity – i.e., that is, fraudulent, will not result in cumulative knowledge and productive outputs that will redound to the benefit of society and be perceived as such by the public.
- A downside of technological developments is its facilitation of alternative realities and fake news. Its upside, on the other hand, include the development of various apps and software that are now able to detect research integrity breaches.
- Providing a Code for the Responsible Conduct of Research helps make academics more mindful of the value of research integrity.

## University of the Philippines System Code for Responsible Conduct of Research

### Preamble

Research is a mandate of the University of the Philippines, the National University, and is integral to its vision and mission of national relevance and global competitiveness. Its value and benefit are vitally dependent on the integrity of the entire research process (beginning from inception of ideas to research methodology to output and dissemination) and the trust it generates among both the academic institution and the lay community which it serves. The Philippine and the international community expect research from the University to always be conducted responsibly, ethically and with integrity.

While it is recognized that there are disciplinary and sectoral differences within the University in research organization and procedures; while the primary responsibility of research integrity lies on the individual researcher and institutions; while research includes multidisciplinary and transdisciplinary dimensions, there are universal principles and responsibilities for both researcher and institution that are fundamental to the integrity of research.

This Code enumerates these basic principles and responsibilities and provides a guide for the creation and maintenance of (1) an ethical research culture and (2) a framework for the responsible conduct of research; both of which are necessary foundations for quality research, credibility and trust in the research process. Furthermore, the spirit of the Code is a reflection of the moral leadership of the University of the Philippines and of its time-honored values of honor and excellence.

The code embodies core behaviors of responsible and ethical research across all disciplines. It does not include specific rules and regulations on the conduct of research—these are available in University and Institution Guides. Compliance with this Code is a requirement for all University research.

### **Principles**

These are the fundamental principles of research integrity; they are the hallmark of a responsible conduct of research which guide researchers in their work (from proposal, development to conduct and reporting of research) as well as in their approach to the different challenges inherent to research. These 7 principles are patterned after the APEC (Asia-Pacific Economic Cooperation) Guiding Principles for Research Integrity.

- Honesty (*katapatan*)
  - o all information and data are always presented truthfully and accurately from presentation of idea and proposal to eventual publication and dissemination of results



- Responsibility (*pananagutan*)
  - This principle refers to fulfilling the duties and obligations for trustworthy and responsible research; being accountable for actions or decisions and complying with relevant laws, regulations and standards.
  - Consequences and outcomes of research must be considered prior to their dissemination
  - Good research stewardship and management should be practiced including the judicious use of public resources, funds and research grants
  - A responsible research culture must be promoted by both institution and researcher through the training, supervision and mentoring of students and research mentees
  
- Rigor (*higpit*)
  - the research process is underlined by attention to detail, a robust methodology and the avoidance of but the acknowledgement of bias when it is present
  
- Transparency (*aninaw/kalinawan*)
  - Researchers and everyone involved in the research process should remain transparent in reporting research methodology, data and findings; and in disclosing and managing conflicts of interest. Sharing research methodology, data and findings should be done openly, responsibly and accurately.
  
- Respect (*respeto*)
  - for colleagues, research participants, wider community, animals, environment, cultural heritage
  - making sure to keep adverse effects on the environment to a minimum
  
- Fairness and professional courtesy (*pagkamakatarungan*)
  - This is practiced consistently in the treatment of fellow researchers, most especially in recognizing the work of co-researchers, giving due recognition (citations) and appropriate credit to contributors, including authorship when warranted
  
- Diversity (*pagkakaiba-iba*)
  - Recognizing and being inclusive of diverse peoples, cultures, knowledges, perspectives and experiences
  - Recognition of the rights of ethnic and religious minorities to be engaged in research that is of significance to them

Action of the Board of Regents  
 at its 363<sup>RD</sup> Meeting on AUG 26 2021

**APPROVAL**



ROBERTO M.J. LARA  
 Secretary of the University  
 and of the Board of Regents



## Responsibilities

Institutions, researchers and funders have responsibilities that must be carried out consistently and conscientiously in order to achieve and maintain a culture of "responsible conduct of research".

The institution must be able to

- create an environment conducive to research integrity
  - establish an Office of Research Integrity or similar office in the constituent unit (CU)
  - provide appropriate guides and policies readily available in the CU
  - provide adequate and safe facilities to store and archive data and reports
  - pursue honor and excellence in all its undertakings
- provide training to research staff and personnel
  - conduct regular training of officers and staff of Offices of Research Integrity
  - conduct regular updates for all faculty and REPS (research and extension professional staff)
- implement appropriate monitoring and response to allegations of research misconduct
  - institute a monitoring and evaluation plan
  - regularly collect information needed to implement monitoring and evaluation
- assure transparent, just and fair decisions
- adopt the principles of a learning organization
  - share regular updates with stakeholders on the status of implementing policies on Research Integrity
  - conduct research responsive to the agenda of research integrity
  - participate in international collaborative efforts

The researchers must

- undertake the entire research process appropriately and responsibly, from conception of the research idea to its final publication and dissemination, maintaining the principles as stated in the previous section
- support the responsible conduct of research, in both their own and their colleagues' research activities
- promote education and activities in responsible research practice and research integrity for themselves, for peer and for staff and mentees
- report observed misconduct in research through appropriate channels

As partners in research collaborations, both researchers and institutions must

- take collective and individual responsibility of the trustworthiness of the research
- strive for establishing and maintaining the trust of all collaborators
- comply with laws and policies governing research collaborations
- agree to terms mutual to all collaborators with regard purpose and goals of the research, management of resources, monitoring, ownership of data, and research

results dissemination

Funders as research partners must

- commit to the most appropriate mechanism of funding that is transparent and will promote responsible conduct of research.

### **Breaches or violations of Research Integrity**

Violations of research integrity, including their definition, categorization and sanctions, will be the subject of a set of policies and guidelines to be issued by the Committee on Research Integrity. The details of investigation and corresponding sanctions are left to the Unit, Institution or College where specific procedures must be in place to handle allegations of research misconduct. All allegations must be promptly and carefully reviewed. The Committee will defer to applicable and existing governing mechanisms over staff misconduct, which will be assessed and meted out by offices handling Human Resource-related matters; applying rules from, for example the Civil Service Commission, UP Employees' Manual, or Student Handbooks and Training Manuals. These cases will ultimately be forwarded to the Committee for oversight.

It is envisioned that with the cumulative experience, collection and study of cases pertaining to research integrity, the Committee can transition into an Office of Research Integrity which will continue to pursue the dual roles of education and oversight in order to maintain a culture of "responsible conduct of research."

### **References:**

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**Secretary of the University  
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