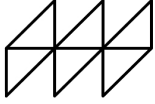
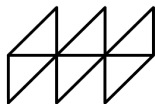


CODE OF GOOD RESEARCH PRACTICE CENTRE D'ESTUDIS DEMOGRÀFICS

Bellaterra, 1 December 2017

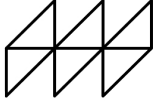






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0.- CODE OF GOOD RESEARCH PRACTICE. Executive summary.

The Code of good practice is a general instrument which provides a set of guidelines for actions, recommendations and commitments on carrying out activities of research and transfer at CED.

Objectives:

- Promoting improvements in the quality of research in all its aspects.
- Establishing mechanisms to guarantee honesty, rigour and responsibility in research.
- Guaranteeing correct guidance so that good scientific practices are acquired by research personnel in the training stage.

This Code applies to all staff contracted, associated and staying at the CED.

Basic values and principles of research: Freedom, Honesty, Responsibility, Rigour, Integrity, Transparency.

Research organisation

The areas and lines of research must have someone in charge to give leadership and deal with public representation. The responsibilities of the leadership include both the intellectual facet and aspects of organisation and management.

Those CED research personnel who direct doctoral theses are principally responsible for the training process of the young researchers. Guidance for research staff in training is based on the figure of the tutor assigned to each doctoral student.

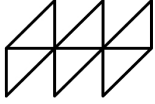
The research personnel can take advantage of the CED quality system, in which protocols are established for the planning and development of research with information on the infrastructures available.

Collection, custody, property and dissemination of the research results and data

The collection, storage, disclosure and use of research data by research personnel has to abide by the directives of Organic Act 15/1999, of 13 December, on personal data protection and Regulation (EU) 2016/679 of the Parliament and of the Council, of 27 April 2016, on personal data protection, in accordance with the internal rules of the CED (procedures P01 *Management of Human Resources* and P03 *Data Protection* in the Quality System).

Evaluation, advice and review

This has to be based on scientific criteria and not on personal opinions and ideas. A review has to be refused if there are any conflicts of interest. The information in the reports and documents that are reviewed or evaluated is always confidential and privileged. It cannot be used for personal benefit until it has been published. It cannot be shared with any colleague unless for some particular reason and only when permission has been explicitly given by the publisher or research agency. No copy can be kept unless permitted by the managers of the publishing process or the agency. The most usual outcome is that, once the process is completed, the material is either destroyed or returned.



1.- INTRODUCTION

The Centre d'Estudis Demogràfics (CED), situated on the Campus of the Autonomous University of Barcelona ([map showing location](#)), was founded in 1984.

It is a centre committed to the objective of achieving a high level of excellence in research, teaching and the transfer of knowledge, in order to:

- 1) Maintain a position as the benchmark in demography in Catalonia and Spain.
- 2) Broaden its role as one of the most important international centres of demographic research in Europe and worldwide.
- 3) Reinforce its role as a leading centre for education and training in demography on a national level and become a leading centre for training on the international level.
- 4) Achieve a central and influential role in social debate on population problems.

The (CED) considers it necessary to adopt the Code of good research practice to guarantee the ethical principles that govern the practice of research, innovation and the transfer of knowledge. This Code has to contribute to guaranteeing that the research carried out is done in accordance with current legislation and with the ethical standards accepted by the scientific community.

This Code is based on the European Charter for Researchers and other documents on good scientific practice in public research institutions. It has been prepared following and adopting many of the recommendations set out in the Code of Good Research Practice of the Autonomous University of Barcelona (Governing Council Resolution of 30 January 2013), a scientific institution which is a member of the CED governing council and with which the CED shares the same ethical and scientific principles regarding research (http://www.uab.cat/doc/codibonespractiques_research).

This Code of good research practice was approved by the HRS4R working group in a meeting held on 20 February 2018.

2.- OBJECTIVES

Good research practices supplement the current laws and standards and are concerned with how research is planned and developed, how the results are recorded and disseminated, and how the knowledge derived from the research is exploited. They also include mechanisms for the guidance of research personnel in training¹ and for participation in and/or the preparation of applied research projects for entities, institutions and enterprises, both public and private.

¹ Research personnel in training at the CED, doctoral students in the Demography programme of the UAB, also have to abide by the Code of good practice of the Doctorate School, approved by the Governing Council of the UAB on 30 January 2013.

The Code of good research practice is a general instrument which provides a set of guidelines for actions, recommendations and commitments on carrying out activities of research and transfer at CED.

Its objectives are:

- Promoting improvements in the quality of research in all its aspects.
- Establishing mechanisms to guarantee honesty, rigour and responsibility in research.
- Guaranteeing correct guidance so that good scientific practices are acquired by research personnel in the training stage.

This Code applies to all staff contracted, associated and staying at the CED.

3.- BASIC VALUES AND PRINCIPLES OF RESEARCH AT THE CED

The basic values and principles on which research done at the CED has to be based are freedom, honesty, responsibility, rigour, integrity and transparency.

Freedom

The principle of freedom refers to both the choice of the research and its development. Nevertheless, this freedom is constrained by the ethical principles expressed in the UAB Statutes, mentioned above, and by conventions and declarations in the international ambit referring to it, as well as the legal precepts applicable in each case, which are listed at the end of this Code.

Honesty

Researchers have to be honest in their research activities and also with regard to the activities of other researchers and the institution itself. This principle applies to all research work, including the initial formulation of hypotheses, the methodological design, data analysis, publication of the results, acknowledgement of contributions by other researchers and the activities of review and evaluation done by personal request.

The researchers have to acknowledge clearly, unequivocally and explicitly the collaboration and contributions, both direct and indirect, of other colleagues. They must also respect intellectual property rights, avoiding plagiarism or self-plagiarism and any manipulation of results.

Researchers have to avoid any conflicts of interest that may compromise the validity of their own research results.

Responsibility

Researchers have to guarantee that the research is done in accordance with the terms and conditions defined by the entity that is financing it and agreed between the CED and the financing bodies. This also includes the need to ensure:

- a) That the research is done in accordance with the original proposal submitted to the financing entity, except in those cases where amendments have been agreed.
- b) That the financing is used only for the stated objectives, except in those cases where authorisation has been obtained for other alternative uses.
- c) That the reports exactly reflect the work done and are submitted within the scheduled timescale.
- d) That the conditions are complied with in relation to publication, authorship and intellectual property.

Rigour

Scientific rigour is defined by the ability to use information, rules and procedures to achieve the quality standards with precision and effectiveness and in accordance with the values and strategies set by the science and technology system. It requires a detailed review of the results obtained before their publication. In the event that errors are found after publication, a public correction will be issued as soon as possible.

Integrity

Research, like any other human activity, is basically founded upon trust. The academic community accepts a scientific result as valid on the basis of trust. And society trusts that the results of the research are an honest contribution to knowledge that will help to describe the world without any bias. This trust is intrinsically related with the ethical conduct and integrity of the scientific community.

Transparency

Sharing the information and the resources, while being open to new ideas and criticism, ensures the transparency and traceability of research. In relation to data, it is essential at all times to be able to specify their provenance and ownership. The CED has to take care to ensure this principle of transparency with respect to third parties through the use of adequate mechanisms.

4.- RESEARCH ORGANISATION

4.1.- AREAS OF RESEARCH AND LINES OF INVESTIGATION

Research at the CED is structured in six areas of demographic research and one area of applied demography. Each area covers different lines of investigation. Each line comprises principal researchers (IP), researchers, research personnel in training and research support personnel.

The areas and lines of research must have someone in charge to give leadership and deal with public representation. The responsibilities of the leadership include both the intellectual facet and aspects of organisation and management.

The IP or leaders have to promote a working atmosphere in which the members of the research team can be trained and develop their aptitudes and in which an exchange of ideas and knowledge is encouraged, as well as the achievement of shared research targets.

The IP or leaders have also to promote cooperation with other research teams in order to facilitate an exchange of ideas and knowledge among the research personnel.

The research teams and the IP have to establish their channels of communication clearly, with a basic pattern for taking decisions. They must also be explicit about the responsibilities associated with the research activities. The team members have to participate actively in the activities organised and proposed in the group, and in achieving the targets set as a group².

4.2.- TUTORS FOR RESEARCH PERSONNEL IN TRAINING

Those CED research personnel who direct doctoral theses have the principal responsibility for the training process of the young researchers. Guidance for research staff in training is based on the figure of the tutor/director. Each doctoral student is assigned a tutor/director whose functions are as follows:

- Regular personal interaction with the personnel in training in his/her charge in order to give them guidance in the tasks set and ensure they are fulfilled.
- Providing the research personnel in training with adequate means and scientific atmosphere, taking into account their training needs and avoiding excessive pressure.
- Introducing the personnel in training to discussion forums and scientific meetings and advising them on their future, as well as agreeing on their participation in research projects, stays abroad, courses, etc.
- Preventing the research personnel in training from being involved in tasks outside those of their training.
- Ensuring that the tasks designed for the training of research personnel in training (research work for a master degree, doctoral theses) are not part of projects with commercial restrictions on the dissemination of the results.
- Ensuring that the research is developed in conditions of safety, informing the personnel in training on the safety rules and prevention of labour risks and making sure they are complied with.
- Instilling in the personnel in training the principle of following the Code of good research practice and being critical when evaluating their work.

² Research personnel in training at CED (doctoral students) in the research teams, as well as their tutors and directors, besides these good practices, are bound by the letter of commitment in the doctorate programme that they sign at the start of their research activity.

- Supplying the personnel in training with all the information they need in relation to legal regulations in force that affect their research activity.
- Recognising work done by research personnel in training and being rigorous and fair in the authorship of publications and other means of dissemination of the research work carried out.
- Developing their own work in such a way that it forms an example to be followed by researchers in training.

Obligations of personnel in training:

- A full commitment to the project assigned for their training and acceptance of the commitments resulting from it, also achieving the objectives entrusted to them by devoting to them the necessary resources and time, within what is reasonable in their situation and dedication to the project.
- An undertaking to making good use of the material means and installations made available.
- Following the advice and recommendations of the directors or tutors and telling them about any possible own initiatives and how the results are advancing.
- Being aware of the safety rules and procedures and following them, also respecting the Code of good research practice.
- Taking part in scientific activities, discussion forums, seminars, etc., related with the development of their own work.
- Acknowledging the contribution by their directors or tutors in the oral or written disclosure of their results.

4.3.- PLANNING THE RESEARCH

The CED research management system is based on the protocol that constitutes Procedure P02 of the Quality System. The planning of research at the Centre has to follow the sequence set out below:

General progression

- Planning, approval and management of projects by Direction, Management, Research Personnel and Research Support Staff.
- An active search for commissions/Reception of proposals for commissions.
- Proposals submitted in open tenders are governed by the “folder of administrative clauses” on contracting.
- Acceptance of the commission, following the research team’s estimation that it can be carried out.
- Preparing the scientific proposal of research work to be submitted to the client.
- Preparing the proposal for financing the project (see document “Preparation of project budgets”).
- Signing the agreement or contract.

The research (investigating personnel):

- Carrying out the project following the research objectives set and within the terms established
- Submitting the project to the contracting body

The research planning also has to provide for dissemination of the results. In 2009 the Research Management, Transfer and Diffusion Unit was set up to give support to a very important part of research; that of disseminating and communicating the results of the work carried out. To that end, the CED has a protocol on dissemination of the research results in the form of Procedure P03 of the Quality System³.

Each of the projects developed at the CED has a Dissemination Plan associated with it and specific to the project and which has to fit within the CED Dissemination Plan. This involves the essential collaboration and coordination between the research personnel and the Research Management, Transfer and Diffusion Unit.

With regard to each project, there is a distinction between those developed through:

Agreements or contracts:

The existence of clauses in the agreements or contracts can obstruct dissemination of the research results. In any case, how the project is to be submitted to the contracting body has to be planned.

Competitive tenders:

It happens more and more in competitive tenders that the *Project Dissemination plan* is asked for.

Preparing the Dissemination Plan has to ensure that it is adapted to what is stipulated in each tender, establishing a general framework on what is to be divulged, to whom, when and how.

In competitive tenders it is usual to find the figure of the "Sponsor Observer Entity" (EPO), referring to enterprises or institutions that may be interested in the results of the projects proposed and have to be borne very much in mind in the Dissemination Plan.

4.4.- DEVELOPMENT OF THE RESEARCH

4.4.1.- Infrastructures for research

All the installations of the CED (offices, computer equipment, library, shared areas), are adequate for carrying out the research activities planned, in terms of both the safety of the people working there and the quality of the results obtained.

The CED has protocols on training and on the working of each of the infrastructures and services available to the research personnel for their activities. These protocols are structured in the procedures of the Quality System⁴ and must be complied with by all the CED personnel:

- P08 Management of the CED Library
- P09 Management of Computer Services
- P10 Management of the Prevention System

³ This procedure and others that form part of the CED Quality System can be consulted in the folder: *Intercanvis/1 Sistema de Qualitat del CED [Interchanges/1 CED Quality System]*.

⁴ Idem note 3.

The maintenance of equipment used for the research activities of the CED is the responsibility of the CED management and also of all the people who use it.

4.4.2.- Collection and custody of materials and data

The collection, storage, disclosure and use of research data by the research personnel must follow the directives established in Organic Act 15/1999, of 13 December, on personal data protection and Regulation (EU) 2016/679 of the Parliament and of the Council, of 27 April 2016 on personal data protection, which comes into force on 25 May 2018, in accordance with the internal regulations of the CED (procedures P01 Management of Human Resources and P03 Data Protection in the Quality System).

In any research that handles personal data it has to be guaranteed that these data are obtained and stored in such a way as to comply with current regulations.

All the data have to be stored for a minimum period of five years from the date of publication (except in cases where a longer time has been agreed), in such a way as to guarantee their integrity and security and avoid any unauthorised alterations.

In the case of data stored on electronic support, the CED Computer Services directives have to be applied, as set out in the protocols of the Quality System procedures (P03.2 Databank management, P03.3 Data management and P09 Computer management).

In the case of Applied Demographics projects a copy has to be kept on paper and another in digital format in the Project Management office (see procedure P02 Project Management).

In the case of competitive research projects and others, a copy has to be kept on paper and another in digital format in the Management office (see procedure P02 Project Management).

4.4.3.- Ownership of data

In October 2012 the Governing Council of the CED approved the regulations on intellectual and industrial property in the CED, setting out the rights and duties of the research personnel in these matters.

Ownership of research results in the CED. The Centre is entitled to ownership and the exploitation rights of the results of research developed by the Centre's research personnel as a consequence of their research activities.

Ownership of Industrial Property rights. The Centre is entitled to ownership and the exploitation rights resulting from Industrial Property rights over inventions resulting from the research work.

Ownership of Intellectual Property rights. The research personnel of the Centre have the right to copyright in works created as a consequence of their research activities in the Centre, except in the cases expressly provided in these regulations.

Nevertheless, in compliance with the terms of the Intellectual Property Act, the exploitation rights over the works are considered to be assigned to the Centre, unless contractually

established otherwise, an assignment that is granted, exclusively, in the worldwide territorial ambit, for the whole period of validity of the Intellectual Property rights, without any limitation as to matter or activity.

The data and materials resulting from research have to be made public and have to be in proper condition to be shared by third parties, with the exception of cases where restrictions have been established due to their possible commercialisation.

All members of the research team have to be able to access the information on the data obtained and their interpretation, in accordance with the objectives and purpose of the research undertaken.

5.- DISSEMINATION OF THE RESEARCH

Dissemination by the CED⁵ is regulated by ethical and professional principles, understood as a contribution to the increase and improvement of human knowledge and as part of the process of rendering accounts regarding the use of public means for the research. This dissemination plan takes into consideration the Code of good research practice of the UAB.

In order to homogenise and give greater visibility to the CED, on all occasions and in all activities in which the Centre's personnel are involved, the institutional image and credits have to appear and must be taken into account in the various aspects of acknowledgements and authorship detailed below:

5.1.- Institutional image and credits

- Always use the institutional image of the CED on all documents and in all activities carried out, as a way of making its research visible.
- On all documents and whenever the name of a researcher is given, a mention must appear that they belong to the "Centre d'Estudis Demogràfics", in a visible position and with the entity's logo.
- In the case of associated personnel, they must be identified as attached to the "Centre d'Estudis Demogràfics".
- Optionally the mention can also appear in English ("Centre for Demographic Studies"), but always preserving the name in Catalan.

5.2.- Authorship

- Follow the "CED Regulations on Intellectual and Industrial Property"⁶.
- All the co-authors of a publication have to understand the text, accept the final result and, therefore, they are co-responsible for the content.
- With regard to the order of authors on publications, it is recommended that they appear in alphabetical order or, if the contribution of each author is different, by order of importance.

⁵ See also CED Dissemination Plan in the folder: *Intercanvis/1 Sistema de Qualitat del CED/HRS4R [Interchanges/1 Quality System of CED/HRS4R]*

⁶ Consultation on the CED webpage at: <http://ced.uab.es/sobre-el-ced/portal-de-transparencia/organisacio-i-resultats/>

5.3.- Acknowledgements

Every action of dissemination of a research has to include an acknowledgements section recording:

- The entities that have subsidised the research, naming the institution and the project reference, provided that no objection has been made.
- Those people and institutions that, although not being considered as authors, have collaborated with the research in one way or another.

5.4. Dissemination in the communication media

The presentation of results through the communication media must always include an explanation of an informative kind or have part of the presentation adapted for the general public. The CED has the support of the UAB Communication Area for attention to the communication media when information is asked for:

- The Research Management, Transfer and Dissemination Unit is the first line of attention to the communication media when they contact the CED.
- The most appropriate research personnel, depending on the subject, are asked to attend to the media.

Dissemination of CED research through the communication media:

- Covers the most notable news items of the month, included in the CED Information Bulletin in the UAB Communication Area in order to broaden the dissemination.
- Subjects can be selected as possibly suitable for more extensive dissemination in the media.

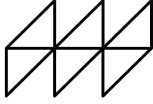
For occasions organised by the CED, more specific research or the scientific Bulletin *Perspectives Demogràfiques*:

- A press note or release is prepared by the principal investigator who is organising the occasion or is the author of the research and the UAB Communication Service.
- The UAB Communication Area or the CED will communicate the press release to the media.
- The news item is followed up and documents are compiled that are issued in the communication media (press, radio, audiovisual,...).
- Dissemination can also take place in the social media and through the CED dissemination tools (Web, Memorandums,...).

6.- EVALUATION, ADVICE AND REVIEW

The research personnel often take part in activities of evaluation of projects, publications, groups or individuals. In general, these evaluations are done by experts in matters of the same category as the individuals assessed, this is the so-called *peer review*.

Peer review: This process refers to all personal commissions received in the capacity of expert or similar for the purpose of giving an evaluation, examination or criticism, whether in relation to a manuscript submitted for publication, a report for which an individual or group subsidy is requested, or an experimental procedure the subject of examination by an ethical committee.



The reviews have to be objective, that is to say, they have to be based on scientific criteria and not on personal opinions and ideas. A review has to be refused if there are any conflicts of interest (for example, when there is some direct link with the authors or when they are closely competing) or when the person invited is not considered sufficiently prepared for the review.

The information in the reports and documents that are reviewed is always confidential and privileged. In consequence, this documentation:

- Cannot be used for the benefit of the person doing the review until the information has been published.
- Cannot be shared with any colleague unless for some particular reason and only when permission has been explicitly given by the publisher or research agency.
- No copy can be kept unless permitted by the managers of the publishing process or the agency. The most usual outcome is that, once the process is completed, the material is either destroyed or returned.