



HISTORIC
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Code of Good Practice in Research

Introduction

Historic Environment Scotland (HES) has a responsibility to ensure that the research that it supports is carried out in conformity with the law and in accordance with the best current practice as articulated in 'The Concordat to Support Research Integrity' (2012).

HES expects those engaged in research to act with the highest standards of integrity and for these standards to be maintained by all individuals engaged in HES business, in particular the setting of research priorities and in the assessment of research.

Those engaged in research should adhere to the HES Corporate Values to be Collaborative, Professional, Innovative, Open and Respectful; as well as the Code of Conduct for all HES employees.

This Code of Good Practice in Research applies to HES staff, as well as to doctoral students co-supervised by HES. Both staff and students must ensure that the research they undertake does not bring HES into disrepute.

Honesty

At the heart of all research endeavour, regardless of discipline or institution, is the need for researchers to be honest in respect of their own actions in research and in their responses to the actions of other researchers. This applies to the whole range of research, including generating and analysing data, publishing results, and acknowledging the direct and indirect

contributions of colleagues, collaborators and others. All individuals in HES employment must refrain from plagiarism, piracy or the fabrication of results and committing any of these actions is regarded as a serious disciplinary offence.

Openness

HES encourages researchers to be as open as possible in discussing their work with other researchers and with the public. Once results have been published, where appropriate, HES expects researchers to make available relevant data and materials to others by making them available through a research hub on the HES website, and depositing them in the HES Archive.

In addition, HES expects researchers to observe the standards of practice set out in guidelines published by funding bodies, scientific societies and other relevant professional bodies.

Leadership and co-operation in research groups

The culture and tone of procedures within any organisation must be set by individuals in authority. Within HES, it is the responsibility of the Chief Executive and the Senior Management Team to ensure that a climate is created which allows research to be conducted in accordance with good research practice.

Research leaders should create a research environment of mutual co-operation, in which all members of a research team are encouraged to develop their skills and in which the open exchange of research ideas is fostered. They must also ensure that appropriate direction of research and supervision of researchers and research students are provided.

Research misconduct is least likely to arise in an environment where good research practice (e.g. documentation of results, peer review of research, regular discussion and seminars) is encouraged and where there is adequate supervision at all relevant levels. It is a responsibility of senior staff to convey clearly the standards and protocols for research in their relevant areas, and to

ensure that adherence to those standards is a matter of course. The HES Annual Reporting system, in conjunction with Directorate Operational Plans, can be used to monitor research progress as well as compliance with this policy.

Documenting results and storing primary data

Throughout their work, researchers are required to keep clear and accurate records of the research procedures followed and of the results obtained, including interim results. This is necessary not only as a means of demonstrating proper research practice, but also in case questions are subsequently asked about either the conduct of the research or the results obtained. For similar reasons, data generated in the course of research must be kept securely in paper or electronic form, as appropriate and in line with HES digital archiving and records management policies and procedures.

Open Access

Open Access (OA) is about making the products of research freely available to all. Most publically funded research now requires OA as a funding condition. There are multiple levels of OA, the most frequent being Green (work is available in organisational digital repositories) and Gold (free access to digital books and journal articles immediately on publication).

HES supports Open Access and has provided grants to support grant recipients disseminate their findings through OA. The Procedure for the Archaeology Programme is available online:

<https://www.historicenvironment.scot/media/4466/archaeology-programme-open-access-procedure.pdf>

Acknowledging the role of collaborators and other participants

In all aspects of research, the contributions of formal collaborators and all others who directly assist or indirectly support the research must be properly acknowledged. This applies to any circumstances in which statements about the research are made, including provision of information about the nature and process of the research, and in publishing the outcome. Failure to acknowledge the contributions of others is regarded as unprofessional

conduct. Conversely, collaborators and other contributors carry their share of the responsibility for the research and its outcome.

Accountability

Researchers, and in particular those named as lead researchers or grant-holders, must ensure that the research that they are undertaking is consistent with the terms and conditions as defined by the sponsoring body and/or covered by agreements between HES and the sponsor. This includes, but is not restricted to, ensuring that the research programme carried out is as defined in the original proposal to the sponsor, unless amendments have been agreed in writing; that finance is used solely for the purpose that it was intended; that reports are both accurate and produced on time; and that conditions relating to publication and ownership of Intellectual Property are adhered to.

The needs of new researchers

Researchers who are new to the research community may face particular difficulties. Responsibility for ensuring that new researchers understand good research practice lies with all members of the community, but particularly with line managers or, in the case of doctoral students, co-supervisors.

Integrity in submitting research proposals

Those preparing research proposals should take all reasonable measures to ensure the accuracy and completeness of information which is contained in applications for funding.

Integrity in managing research projects

Lead researchers should take all reasonable measures to ensure compliance with sponsor, institutional, legal, ethical and moral obligations in managing projects.

Conflict of Interest

It is the responsibility of researchers and senior staff to identify and declare any conflicts of interest, whether legal, ethical, moral, financial, personal or other nature, so that it does not become a complicating or actionable issue.

Research Misconduct

Any member of HES who believes that an act of research misconduct has occurred or is occurring should notify the relevant member of the senior staff. If, for any reason, this is not possible or appropriate, the individual should contact the Chief Executive.

Intellectual Property Rights

Unless otherwise agreed, HES owns the intellectual property rights arising from research undertaken by employees in the course of the employment.

Data Protection

Research data which includes 'Personal Data', identifying a living individual, will be subject to UK data protection law regulated by the Information Commissioner's Office. The law places obligations on Historic Environment Scotland and you, as a researcher. You must make yourself fully aware of these obligations when using research data which includes, or may gather as part of the project, Personal Data that identifies a living individual. You must contact the Data Protection Officer (dataprotection@hes.scot) before undertaking any research projects which may include or gather Personal Data.

Related Documents

This Code of Good Conduct aligns with the principles of the HES Research Framework/Strategy (forthcoming) and is compatible with HES' corporate aims, as well as being useful to the wider sector.

Process of Review

This document will be reviewed on a biennial basis by the Senior Management Team. Responsibility for the administration of its review and the

proposal of any revisions will sit with the Directorate of Development and Partnership.