

**UNIVERSITY OF HUDDERSFIELD**

**Code of Practice for Research**

**November 2016**

## Acknowledgement

This Code of Practice has been adapted from the UK Research Integrity Office Code of Practice for Research:

<http://ukrio.org/publications/code-of-practice-for-research/>

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## 1.0 Introduction

- 1.1 The University of Huddersfield's Code of Practice for Research has been adapted from the UK Research Integrity Office's Code of Practice for Research. It is designed to encourage good conduct in research and help prevent misconduct, in order to assist researchers to conduct research of the highest quality. It provides general principles and standards for good practice in research.
- 1.2 The Code is organised in the following Sections:
- a) Section 2.0 contains broad Principles which define the responsibilities and values in the conduct of research by both The University and its researchers.
  - b) A one-page Recommended Checklist for Researchers can be found in section 3.0. This is a non-technical checklist summarising the key points of good practice in research and is applicable to all subject areas. It is also available to download in .pdf format at <http://ukrio.org/publications/checklist-for-researchers/>. The Checklist is based on the more detailed Standards given in section 4.0.
  - c) Section 4.0 lists Standards for good practice in research that the University and its researchers should comply with. The Standards apply to all disciplines of research.
- 1.3 The University endorses and supports good practice in research at the highest level and its implementation through education, training and supervision, enabling researchers to become aware of their individual responsibilities and the collective responsibility they have to the University and the wider research community.
- 1.4 The University Policy on Research Ethics and Integrity applies to all academic, research and administrative staff, and all taught and research students who are engaged in research projects at any level. All academic, research and administrative staff, and all taught and research students who are engaged in research must comply with the University's policy and procedures for the conduct of research.

## 2.0 Principles

- 2.0.1 The University and researchers should adhere to the following Principles, which set out the responsibilities and values relevant to research. While some elements may seem self-evident, and there is some overlap, these Principles aim to encourage all involved in research to consider the wider consequences of their work and to engage critically with the practical, ethical and intellectual challenges that are inherent in the conduct of high quality research, rather than treating codes of practice such as this as just another procedure to be followed.
- 2.0.2 The University and researchers should be guided by these Principles when implementing and complying with the core Standards described in section 4.0 and the Recommended Checklist for Researchers in section 3.0
- 2.1 **Excellence:** The University and researchers should strive for excellence when conducting research and aim to produce and disseminate work of the highest quality. This Code, its Principles and its Standards are intended to support these goals.
- 2.2 **Honesty:** The University should work to create and maintain a culture of research that fosters and supports honesty in research. Researchers should be honest in relation to their own research and that of others. They should do their utmost to ensure the accuracy of data and results, acknowledge the contributions of others, and neither engage in misconduct nor conceal it.
- 2.3 **Integrity:** The University and researchers must comply with all legal and ethical requirements relevant to their field of study. They should declare any potential or actual conflicts of interest relating to research and where necessary take steps to resolve them.
- 2.4 **Co-operation:** The University and researchers should promote the open exchange of ideas, research methods, data and results and their discussion, scrutiny and debate, subject to any considerations of confidentiality.
- 2.5 **Accountability:** The University and researchers should recognise that in and through their work they are ultimately accountable to the general public and should act accordingly. They should ensure that any research undertaken complies with any agreements, terms and conditions relating to the project, and allows for proper governance and transparency. Researchers should follow the requirements and guidance of any professional bodies in their field of research. Researchers who are members of a regulated profession must follow the requirements and guidance of the body regulating their profession.
- 2.6 **Training and skills:** The University should provide training and opportunities for development for their researchers, and the necessary resources to enable them to conduct research to the required standards. Researchers should be supported in identifying unmet needs for training and development. Researchers should ensure that they have the necessary skills, training and resources to carry out research, in the proposed research team or through collaboration with specialists in relevant fields, and report and resolve any unmet needs identified.
- 2.7 **Safety:** The University and researchers should ensure the dignity, rights, safety and well-being of all involved in research and avoid unreasonable risk or harm to research subjects, patients, participants, researchers and others. They should report and address any concerns relating to the dignity, rights, safety and well-being of those involved in research. Research should be initiated and continued only if the anticipated benefits justify the risks involved.

### 3.0 Recommended checklist for researchers

3.0.1 The Checklist lists the key points of good practice in research for a research project and is applicable to all subject areas. It is also available to download in .pdf format at <http://ukrio.org/publications/checklist-for-researchers/>. More detailed guidance can be found in section 4.0.

<b>Before conducting your research, and bearing in mind that, subject to legal and ethical requirements, roles and contributions may change during the time span of the research:</b>	<input checked="" type="checkbox"/>
1. Does the proposed research address pertinent question(s) and is it designed either to add to existing knowledge about the subject in question or to develop methods for research into it?	<input type="checkbox"/>
2. Is your research design appropriate for the question(s) being asked?	<input type="checkbox"/>
3. Will you have access to all necessary skills and resources to conduct the research?	<input type="checkbox"/>
4. Have you conducted a risk assessment to determine:	
a. whether there are any ethical issues and whether ethics review is required;	<input type="checkbox"/>
b. the potential for risks to the organisation, the research, or the health, safety and well-being of researchers and research participants; and	<input type="checkbox"/>
c. what legal requirements govern the research?	<input type="checkbox"/>
5. Will your research comply with all legal and ethical requirements and other applicable guidelines, including those from other organisations and/or countries if relevant?	<input type="checkbox"/>
6. Will your research comply with all requirements of legislation and good practice relating to health and safety?	<input type="checkbox"/>
7. Has your research undergone any necessary ethics review (see 4(a) above), especially if it involves animals, human participants, human material or personal data?	<input type="checkbox"/>
8. Will your research comply with any monitoring and audit requirements?	<input type="checkbox"/>
9. Are you in compliance with any contracts and financial guidelines relating to the project?	<input type="checkbox"/>
10. Have you reached an agreement relating to intellectual property, publication and authorship?	<input type="checkbox"/>
11. Have you reached an agreement relating to collaborative working, if applicable?	<input type="checkbox"/>
12. Have you agreed the roles of researchers and responsibilities for management and supervision?	<input type="checkbox"/>
13. Have all conflicts of interest relating to your research been identified, declared and addressed?	<input type="checkbox"/>
14. Are you aware of the guidance from all applicable organisations on misconduct in research?	<input type="checkbox"/>
<b>When conducting your research:</b>	<input checked="" type="checkbox"/>
1. Are you following the agreed research design for the project?	<input type="checkbox"/>
2. Have any changes to the agreed research design been reviewed and approved if applicable?	<input type="checkbox"/>
3. Are you following best practice for the collection, storage and management of data?	<input type="checkbox"/>
4. Are agreed roles and responsibilities for management and supervision being fulfilled?	<input type="checkbox"/>
5. Is your research complying with any monitoring and audit requirements?	<input type="checkbox"/>
<b>When finishing your research:</b>	<input checked="" type="checkbox"/>
1. Will your research and its findings be reported accurately, honestly and within a reasonable time frame?	<input type="checkbox"/>
2. Will all contributions to the research be acknowledged?	<input type="checkbox"/>
3. Are agreements relating to intellectual property, publication and authorship being complied with?	<input type="checkbox"/>
4. Will research data be retained in a secure and accessible form and for the required duration?	<input type="checkbox"/>
5. Will your research comply with all legal, ethical and contractual requirements?	<input type="checkbox"/>

## **4.0 Standards**

4.0.1 The University and its researchers should comply with the following core Standards, which should be interpreted in light of the Principles in section 2.0. Each Standard adopts the order:

- a) The University and researchers;
- b) The University; and
- c) researchers.

### **4.1 General guidance on good practice in research**

4.1.1 The University and researchers must comply with all legal and ethical requirements and other guidelines that apply to their research. This includes submitting research proposals for ethics review where appropriate and abiding by the outcome of that review. They should also ensure that research projects are approved by all applicable bodies, ethical, regulatory or otherwise.

4.1.2 When conducting, or collaborating in, research in other countries, the University and researchers based in the UK should comply with the legal and ethical requirements existing in the UK and in the countries where the research is conducted. Similarly, the University and researchers based abroad who participate in UK-hosted research projects should comply with the legal and ethical requirements existing in the UK as well as those of their own country.

4.1.3 The University and researchers should ensure that all research projects have sufficient arrangements for insurance and indemnity prior to the research being conducted.

4.1.4 The University should:

- a) ensure that good practice in research forms an integral part of their research strategy or policy;
- b) establish clear policies and procedures that cover the Principles of good practice in research (see section 2.0) and offer detailed guidance on the Standards set out in this Code;
- c) ensure that these policies and procedures complement and are in accordance with existing organisational policies, such as those for health and safety, raising concerns at work, management of finances or of intellectual property, and equality and diversity;
- d) make sure that their researchers are aware of these policies and procedures and that all research carried out under the auspices of the organisation complies with them;
- e) provide training, resources and support to their researchers to ensure that staff are aware of these policies and procedures and are able to comply with them;
- f) encourage staff to consider good practice in research as a routine part of their work; and
- g) monitor these measures for suitability and effectiveness and review them where necessary;
- h) periodically review this code, policy and procedures.

4.1.5 Researchers should:

- a) recognise their responsibility to conduct research of high ethical standards;

- b) be aware of the University's policies and procedures on good practice in research;
- c) make sure that their research complies with these policies and procedures, and seek guidance from the University when necessary;
- d) work with the University to ensure that they have the necessary training, resources and support to carry out their research; and
- e) suggest to the University how guidance on good practice in research might be developed or revised.

## **4.2 Leadership and supervision**

- 4.2.1 The University and researchers should promote and maintain an environment which fosters and supports research of high ethical standards, mutual co-operation, professionalism and the open and honest exchange of ideas. They should foster a culture where good conduct in research is promoted and inappropriate conduct is identified and addressed.
- 4.2.2 The University should provide direction and supervision of research and researchers, setting out clear lines of accountability for the organisation and management of research. They should support supervisors and researchers in meeting the legal and ethical requirements of conducting research. The University should encourage the career development of their researchers and provide training and mentoring of new researchers. They should also offer training and support to those charged with the supervision and development of other researchers. The University should support the principles of the *Concordat to Support the Career Development of Researchers*.
- 4.2.3 Researchers involved in the supervision and development of other researchers should be aware of their responsibilities and ensure that they have the necessary training, time and resources to carry out that role, and request support if required.

## **4.3 Training and mentoring**

- 4.3.1 The University should provide training for researchers to enable them to carry out their duties and develop their knowledge and skills throughout their career. This should include training in the responsible design, conduct and dissemination of research. They should support researchers in identifying unmet needs for training and development. The University should provide mentors to assist in the training and career development of new researchers and also provide career development and educational opportunities for researchers who are more established in their careers. As in 4.2.2, they should support the principles of the *Concordat to Support the Career Development of Researchers*.
- 4.3.2 The University should provide particular support for student researchers. Supervisors should make sure that student researchers understand which standards and University policies and procedures they are expected to comply with.
- 4.3.3 Researchers should undergo training in order to carry out their duties and to develop their knowledge and skills throughout their career, repeating training where necessary to ensure that skills are kept up-to-date. They should identify needs for training when they arise and report them to their line manager (for staff) or supervisor (for student researchers). See also section 4.2.3.

## **4.4 Research design**

- 4.4.1 When designing research projects, the University and researchers should ensure that:
- a) The proposed research addresses pertinent question(s) and is designed either to add to existing knowledge about the subject in question or to develop methods for research into it;
  - b) the design of the study is appropriate for the question(s) being asked and addresses the most important potential sources of bias;
  - c) the design and conduct of the study, including how data will be gathered, analysed and managed, are set out in detail in a pre-specified research plan or protocol;
  - d) all necessary skills and experience will be available to carry out the proposed research, in the proposed research team or through collaboration with specialists in relevant fields;
  - e) sufficient resources will be available to carry out the proposed research and that these resources meet all relevant standards; and
  - f) any issues relating to the above are resolved as far as possible prior to the start of the research.
- 4.4.2 The University (where appropriate) and researchers should conduct a risk assessment of the planned study to determine:
- a) whether there are any ethical issues and whether ethics review is required;
  - b) the potential for risks to the organisation, the research, or the health, safety and well-being of researchers and research participants; and
  - c) what legal requirements govern the research.
- 4.4.3 Where the design of a study has been approved by ethics, regulatory or peer review, The University and researchers should ensure that any subsequent alterations to the design are subject to appropriate review to determine that they will not compromise the integrity of the research or any terms of consent previously given.
- 4.4.4 The University should ensure that when there are risks that proposed research or its results may be misused for purposes that are illegal or harmful, those risks are identified and addressed. Researchers should report any risks to, and seek guidance from, the Chair of their School Research Committee on projects where such risks are identified.
- 4.4.5 Researchers should try to anticipate any risks that the proposed research might produce results that could be misused for purposes that are illegal or harmful. Researchers should report any risks to, and seek guidance from, the Chair of their School Research Committee and take action to minimise those risks.
- 4.4.6 Researchers should be prepared to make research designs available to peer reviewers and journal editors when submitting research reports for publication.

## **4.5 Collaborative working**

- 4.5.1 The University and researchers should pay particular attention to projects which include participants from different countries or where work will be carried out in another country due to



the additional legal and ethical requirements and other guidelines that may apply. See also sections 4.1.2, 4.7.2 and 4.8.2.

- 4.5.2 The University should work with partner organisations to ensure the agreement of, and compliance with, common standards and procedures for the conduct of collaborative research, including the resolution of any issues or problems that might arise and the investigation of any allegations of misconduct in research if they occur.
- 4.5.3 Researchers should be aware of the standards and procedures for the conduct of research followed by any organisations involved in collaborative research that they are undertaking. They should also be compliant with any contractual requirements involving partner organisations, seeking guidance and assistance where necessary and reporting any concerns or irregularities to the Chair of their School Research Committee as soon as they become aware of them.
- 4.5.4 Researchers should try to anticipate any issues that might arise as a result of working collaboratively and agree jointly in advance how they might be addressed, communicating any decisions to all members of the research team. In particular, agreement should be sought on the specific roles of the researchers involved in the project and on issues relating to intellectual property, publication, and the attribution of authorship, recognising that, subject to legal and ethical requirements, roles and contributions may change during the time span of the research.

#### **4.6 Conflicts of interest**

- 4.6.1 The University and researchers must recognise that conflicts of interest (i.e. personal or institutional considerations, including but not limited to financial matters) can inappropriately affect research. Conflicts of interest must be identified, declared and addressed in order to avoid poor practice in research or potential misconduct.
- 4.6.2 When addressing a conflict of interest, it must be decided whether it is of a type and severity that poses a risk of fatally compromising the validity or integrity of the research, in which case researchers and the University should not proceed with the research, or whether it can be adequately addressed through declarations and/or special safeguards relating to the conduct and reporting of the research.
- 4.6.3 The senior staff at the University should be aware of potential or actual conflicts of interest at the institutional level and disclose them when they arise so that they can be addressed.
- 4.6.4 Researchers should declare any potential or actual conflicts of interest relating to their research to: their line manager (for staff) or supervisor (for student researchers); any ethics committee which reviews their research; and when reporting their findings at meetings or in publications. Conflicts of interest should be disclosed as soon as researchers become aware of them.
- 4.6.5 Researchers should agree to abide by any direction given by their organisation or any relevant ethics committee in relation to a conflict of interest.

#### **4.7 Research involving human participants, human material or personal data**

- 4.7.1 The University and researchers should make sure that any research involving human participants, human material or personal data complies with all legal and ethical requirements

and other applicable guidelines. Appropriate care should be taken when research projects involve: vulnerable groups, such as the very old, children or those with mental illness; and covert studies or other forms of research which do not involve full disclosure to participants. The dignity, rights, safety and well-being of participants must be the primary consideration in any research study. Research should be initiated and continued only if the anticipated benefits justify the risks involved.

- 4.7.2 When conducting, or collaborating in, research in other countries, The University and researchers based in the UK should comply with the legal and ethical requirements existing in the UK and in the countries where the research is conducted. Similarly, organisations and researchers based abroad who participate in UK-hosted research projects should comply with the legal and ethical requirements existing in the UK as well as those of their own country.
- 4.7.3 The University and researchers should ensure the confidentiality and security of: personal data relating to human participants in research; and human material involved in research projects.
- 4.7.4 The University and researchers working with, for, or under the auspices of, any of the UK Departments of Health and/or the National Health Service must adhere to all relevant guidelines, for example the Department of Health's *Research Governance Framework for Health and Social Care* and the National Research Ethics Service's *Guidance for Applicants*. The University and researchers involved in clinical trials on medicinal products for human use should comply with the principles of Good Clinical (Research) Practice.
- 4.7.5 The University should ensure appropriate ethical, regulatory and peer review of research projects involving human participants, human material or personal data. Mechanisms should ensure that such research projects have been approved by all applicable bodies, ethical, regulatory or otherwise.
- 4.7.6 The University should ensure that appropriate procedures for obtaining informed consent are established and observed in projects involving human participants, having particular regard to the needs and capacity of the subjects involved.
- 4.7.7 The University should ensure the confidentiality and security of: personal data relating to human participants in research; and human material involved in research projects.
- 4.7.8 The University should make sure that their researchers are aware of all of the procedures and have access to all relevant guidance and legal and ethical frameworks.
- 4.7.9 Researchers should submit research projects involving human participants, human material or personal data for review by all relevant ethics committees and abide by the outcome of those reviews. They should also ensure that such research projects have been approved by all applicable bodies, ethical, regulatory or otherwise.
- 4.7.10 Researchers on projects involving human subjects must satisfy themselves that participants are enabled, by the provision of adequate accurate information in an appropriate form through suitable procedures, to give informed consent, having particular regard to the needs and capacities of vulnerable groups, such as the very old, children and those with mental illness.
- 4.7.11 Researchers should inform research participants that data gathered during the course of research may be disseminated not only in a report but also in different forms at academic or other subsequent publications and meetings, albeit not in an identifiable form, unless

previously agreed to, and subject to limitations imposed by legislation or any applicable bodies, ethical, regulatory or otherwise.

- 4.7.12 Researchers who are members of a regulated profession must ensure that research involving human participants, human material or personal data complies with any standards set by the body regulating their profession.
- 4.7.13 Researchers have a duty to publish the findings of all clinical research involving human participants. In addition, it is government policy to promote public access to information about any research and research findings affecting health and social care, including the principle that trials should appear on public registers. In this context “trials” means all comparative studies of health interventions, not just ones conducted in a clinical setting.
- 4.7.14 If researchers consider that human participants in research are subject to unreasonable risk or harm, they must report their concerns to their manager, or other appropriate person as identified by their organisation, and, where required, to the appropriate regulatory authority. Similarly, concerns relating to the improper and/or unlicensed use or storage of human material, or the improper use or storage of personal data, should be reported.

#### **4.8 Research involving animals**

- 4.8.1 The University and researchers should make sure that research involving animals adheres to all legal and ethical requirements and other applicable guidelines. They should consider the opportunities for reduction, replacement and refinement of involving animals in research projects and should refer to the relevant guidance.
- 4.8.2 When conducting, or collaborating in, research in other countries, The University and researchers based in the UK should comply with the legal and ethical requirements existing in the UK and in the countries where the research is conducted. Similarly, organisations and researchers based abroad who participate in UK-hosted research projects should comply with the legal and ethical requirements existing in the UK as well as those of their own country.
- 4.8.3 The University should set up systems to ensure the ethical, regulatory and peer review of research projects involving animals. The systems should include mechanisms to make sure that such research projects have been approved by all applicable bodies, ethical, regulatory or otherwise.
- 4.8.4 The University should make sure that their researchers are aware of the above systems and have access to all relevant guidance and legal and ethical frameworks.
- 4.8.5 Researchers should submit research projects involving animals for review by all relevant ethics committees and abide by the outcome of that review. They should also ensure that such research projects have been approved by all applicable bodies, ethical, regulatory or otherwise.
- 4.8.6 If researchers consider that animals involved in research are subject to unreasonable risk or harm, they must report their concerns to their manager or other appropriate person as identified by their organisation, and, where required, to the appropriate regulatory authority.

#### **4.9 Health and Safety**

- 4.9.1 The University and researchers should ensure that all research carried out under their auspices, or for which they are responsible, fulfils all requirements of health and safety

legislation and good practice. They should bear in mind that certain types of research, for example, social research in a conflict zone, can present particular issues of health and safety. They should ensure that all research which involves potentially hazardous or harmful material or which might cause harm to the environment complies with all legal requirements and other applicable guidelines.

4.9.2 The University should ensure that such research undergoes all forms of appropriate review in accordance with the University's policy on health and safety.

4.9.3 Researchers should submit such research for all forms of appropriate review and abide by the outcome of that review.

#### **4.10 Intellectual Property**

4.10.1 The University and researchers should ensure that any contracts or agreements relating to research include provision for ownership and use of intellectual property. Intellectual property includes, but is not limited to: research data and other findings of research; ideas, processes, software, hardware, apparatus and equipment; substances and materials; and artistic and literary works, including academic and scientific publications.

4.10.2 The University and researchers should not give prior disclosure of research or the findings of research when this might invalidate any commercial property rights that could result. The University and researchers should recognise, however, that the presumption should be that any intellectual property discovered or developed using public or charitable funds should be disseminated in order to have a beneficial effect on society at large. That presumption may be rebutted where there is an express restriction placed on any such dissemination. Any delay in publication and dissemination pending protection of intellectual property should be kept to a minimum.

4.10.3 The University and researchers should comply with any additional conditions relating to intellectual property required by funding bodies.

4.10.4 The University IP policy provides standard guidance for researchers and clarifies exceptions; for example, the University may at its entire discretion waive its right to copyright in a limited class of items produced by scholarly work, which includes articles prepared for publication in journals or books.

4.10.5 Researchers should try to anticipate any issues that might arise relating to intellectual property at the earliest opportunity and agree jointly in advance how they might be addressed, communicating any decisions to all members of the research team.

#### **4.11 Finance**

4.11.1 The University and researchers should ensure that the terms and conditions of any grant or contract related to the research are adhered to.

4.11.2 Researchers should comply with the University guidelines regarding procurement, the hiring of researchers, and the use and management of finances relating to research projects. They should co-operate with any monitoring and audit of finances relating to research projects and report any concerns or irregularities to the appropriate person(s) as soon as they become aware of them.

## **4.12 Collection and retention of data**

- 4.12.1 The University and researchers should comply with all legal, ethical, funding body and organisational requirements for the collection, use and storage of data, in particular those associated with open access and research data management. For personal data particular attention should be paid to the requirements of data protection legislation. They should also maintain confidentiality where undertakings have been made to third parties or to protect intellectual property rights. The University and researchers should ensure that research data relating to publications is available for discussion with other researchers, subject to any existing agreements on confidentiality.
- 4.12.2 In general, data should be kept intact for any legally specified period and otherwise for ten years at least, subject to any legal, ethical or other requirements, from the end of the project. It should be kept in a form that would enable retrieval by a third party, subject to limitations imposed by legislation and general principles of confidentiality. School Research Ethics Committees can consider and approve proposals from PIs to retain data for shorter periods of time where reasoned arguments are provided e.g. where individuals participating in the research may be put at significant risk of identification.
- 4.12.3 The University and researchers should comply with any subject-specific requirements for the retention of data; for example, certain disciplines, such as health and biomedicine, may require research data to be retained for a longer period.
- 4.12.4 If research data is to be deleted or destroyed, either because its agreed period of retention has expired or for legal or ethical reasons, it should be done so in accordance with all legal, ethical, research funder and organisational requirements and with particular concern for confidentiality and security.
- 4.12.5 The University should have in place procedures, resources (including physical space) and administrative support to assist researchers in the accurate and efficient collection of data and its storage in a secure and accessible form.
- 4.12.6 Researchers should consider how data will be gathered, analysed and managed, and how and in what form relevant data will eventually be made available to others, at an early stage of the design of the project.
- 4.12.7 Researchers should collect data accurately, efficiently and according to the agreed design of the research project, and ensure that it is stored in a secure and accessible form.

## **4.13 Monitoring and audit**

- 4.13.1 The University and researchers should ensure that research projects comply with any monitoring and audit requirements. They should make sure that researchers charged with carrying out such monitoring and audits have sufficient training, resources and support to fulfil the requirements of the role.
- 4.13.2 The University should monitor and audit research projects to ensure that they are being carried out in accordance with good practice, legal and ethical requirements, and any other guidelines, adopting a risk-based and proportional approach.
- 4.13.3 Researchers should consider any requirements for monitoring and audit at an early stage in the design of a project.

4.13.4 Researchers should co-operate with the monitoring and audit of their research projects by applicable bodies and undertake such when required. They should co-operate with any outcomes of the monitoring and audit of their research projects. If they become aware of a need for monitoring and audit where it is not already scheduled, they should report that need to the appropriate person.

#### **4.14 Peer review**

4.14.1 The University and researchers should be aware that peer review is an important part of good practice in: the publication and dissemination of research and research findings; the assessment of applications for research grants; and in the ethics review of research projects.

4.14.2 The University should encourage researchers to act as peer reviewers for meetings, journals and other publications, grant applications and ethics review of research proposals, and support those who do so. They should recognise the obligations of peer reviewers to be thorough and objective in their work and to maintain confidentiality, and should not put pressure, directly or indirectly, on peer reviewers to breach these obligations.

4.14.3 Researchers who carry out peer review should do so to the highest standards of thoroughness and objectivity. They should follow the guidelines for peer review of any organisation for which they carry out such work.

4.14.4 Researchers should maintain confidentiality and not retain or copy any material under review without the express written permission of the organisation which requested the review. They should not make use of research designs or research findings from a paper under review without the express permission of the author(s) and should not allow others to do so. Researchers acting as peer reviewers must declare any relevant conflicts of interest.

4.14.5 While carrying out peer review, researchers may become aware of possible misconduct, such as plagiarism, fabrication or falsification, or have ethical concerns about the design or conduct of the research. In such cases they should inform, in confidence, an appropriate representative of the organisation which requested the review, such as the editor of the relevant journal or chair of the relevant grants or ethics committee.

#### **4.15 Publication and authorship**

4.15.1 The University and researchers should accept their duty to publish and disseminate research in a manner that reports the research and all the findings of the research accurately and without selection that could be misleading.

4.15.2 The University should ensure that sponsors and funders of research respect the duty of researchers to publish their research and the findings of their research and that they do not discourage or suppress appropriate publication or dissemination or attempt to influence the presentation or interpretation of findings inappropriately.

4.15.3 The University should provide training and support to guide researchers in the publication and dissemination of research and the findings of research that involves: confidential or proprietary information; issues relating to patents or intellectual property; findings with serious implications for public health; contractual or other legal obligations; and/or interest from the media or the general public.

- 4.15.4 Researchers should address issues relating to publication and authorship, especially the roles of all collaborators and contributors, at an early stage of the design of a project, recognising that, subject to legal and ethical requirements, roles and contributions may change during the time span of the research. Decisions on publication and authorship should be agreed jointly and communicated to all members of the research team.
- 4.15.5 Authorship should be restricted to those contributors and collaborators who have made a significant intellectual or practical contribution to the work. No person who fulfils the criteria for authorship should be excluded from the submitted work. Authorship should not be allocated to honorary or “guest” authors (i.e. those that do not fulfil criteria of authorship). Researchers should be aware that anyone listed as an author of any work should be prepared to take public responsibility for that work and ensure its accuracy, and be able to identify their contribution to it.
- 4.15.6 Researchers should list the work of all contributors who do not meet the criteria for authorship in an acknowledgements section. All funders and sponsors of research should be clearly acknowledged and any competing interests listed.
- 4.15.7 Researchers must clearly acknowledge all sources used in their research and seek permission from any individuals if a significant amount of their work has been used in the publication.
- 4.15.8 Researchers must adhere to any conditions set by funding or other bodies regarding the publication of their research and its findings in open access repositories within a set period.
- 4.15.9 Researchers should declare any potential or actual conflicts of interest in relation to their research when reporting their findings at meetings or in publications.
- 4.15.10 Researchers should be aware that submitting research reports to more than one potential publisher at any given time (i.e. duplicate submission) or publishing findings in more than one publication without disclosure and appropriate acknowledgement of any previous publications (i.e. duplicate publication) is unacceptable.
- 4.15.11 Researchers who are discouraged from publishing and disseminating their research or its findings, or subjected to attempts to influence the presentation or interpretation of findings inappropriately, should discuss this with the Chair of their School Research Committee, escalating to the Pro-Vice-Chancellor Research and Enterprise, if required, so that the matter can be resolved.

#### **4.16 Misconduct in research**

- 4.16.1 The University defines misconduct in research as including, but not limited to:
- a) Fabrication;
  - b) Falsification;
  - c) Misrepresentation of data and/or interests and/or involvement;
  - d) Plagiarism; and
  - e) Failures to follow accepted procedures or to exercise due care in carrying out responsibilities for:
    - i. avoiding unreasonable risk or harm to:

- humans;
- animals used in research; and
- the environment; and

ii. the proper handling of privileged or private information on individuals collected during the research.

- 4.16.2 The University's procedure for investigation of allegations of staff misconduct in research is documented in the staff handbook. Regulations surrounding misconduct in research by students is documented in the Student's Handbook. The University should ensure that any such allegations are investigated thoroughly and fairly and in a timely manner.
- 4.16.3 The Deputy Vice-Chancellor has responsibility for investigating allegations of misconduct in research by staff and can be contacted by external organisations, such as journals, with any concerns about the conduct of research. The University should make sure that staff who investigate allegations have the necessary training, resources and support to fulfil the requirements of the role.
- 4.16.4 The University considers that any misconduct in research is unacceptable and should be reported; that researchers who are found to have committed misconduct in research will be subject to disciplinary proceedings; and that where researchers are members of a regulated profession, cases of serious misconduct in research will be referred to the body regulating their profession. Researchers who are found not to have committed misconduct will be supported and appropriate steps taken to restore their reputation and that of any relevant research project(s).
- 4.16.5 The University should support those who raise concerns about the conduct of research in good faith and **not** penalise them. This support should be in accordance with the University's policy on raising concerns or "whistle blowing".
- 4.16.6 Researchers should know what constitutes misconduct in research and report any suspected misconduct through the relevant procedure of the organisation as soon as they become aware of it. They should recognise that good practice in research includes reporting concerns about the conduct of research and should co-operate with any investigation of misconduct in research when requested. Researchers should work with their institution to support those who raise concerns in good faith about the conduct of research and those who have been exonerated of suspected misconduct.