**CODE OF GOOD RESEARCH PRACTICE AND RESEARCH INTEGRITY**

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the University of Roehampton Research Office[Researchoffice@roehampton.ac.uk](mailto:Researchoffice@roehampton.ac.uk)

The University Research and Knowledge Exchange Committee is responsible for reviewing this policy on a biennial basis and for ensuring it remains consistent with the Concordat to Support Research Integrity, as well as the University’s internal Data Management Policy and Ethics Guidance.

**CODE OF GOOD RESEARCH PRACTICE AND RESEARCH INTEGRITY**

The Code of Good Research Practice and Research Integrity is intended to supersede the existing Code of Good Research Practice (2010). It sets out the University’s responsibilities, provisions, and expectations of researchers with regard to ensuring the highest standards of research integrity in accordance with the principles and commitments set out in the revised Concordat to Support Research Integrity (Universities UK, 2019), and provides guidance for researchers on how to carry out their research in accordance with those standards. It also sets out the University’s procedures for dealing with allegations of research misconduct.

The University has been compliant with the Concordat (2012) since 2017. However, the revised Concordat expands upon and strengthens the principles and commitments of the original document. In conjunction with the changing external research and funding landscape, this necessitates a revised and updated research practice policy which will also align the University with best practice across the sector.

Code of Good Research Practice and Research Integrity

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10. **Introduction**

**1.1 About This Code**

The University of Roehampton is committed to fostering and maintaining a culture and environment with high standards of personal and professional conduct.

This code sets out the standards, principles and responsibilities that ensure good research practice and a research environment that is underpinned by a culture of integrity and rigour. The University requires all those undertaking and/or contributing to research to adhere to the standards of conduct and integrity expressed through the framework and expectations set out in this code It is the responsibility of Deans of Schools/ Faculties and the Directors of Research and Knowledge Exchange Centres to ensure that researchers are made aware of this code, and the responsibility of all researchers to be aware of the contents of the code and to act in accordance with them. Failure to adhere to the policies and procedures set out in it may be grounds for action to be taken by the University, including disciplinary action and sanctions. Where legal obligations are concerned this could mean that a criminal offence has been committed.

Where any other individual who collaborates in research with Roehampton staff and students is not bound by an equivalent code through their employer or other organisation, the individual is expected to abide by this code when working with the University unless otherwise agreed.

In addition to this code, researchers should follow the requirements and guidance of any professional bodies in their field of research, including learned societies. Researchers who are members of a regulated profession must observe the standards of the body regulating their profession and follow their requirements. 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. Many subject associations and professional bodies produce guidance documents on good research practice and researchers are expected to familiarise themselves with these as appropriate (e.g. the British Psychological Society).Where a researcher is in doubt about the applicability of the provisions of the code, or about the appropriate course of action to be adopted in relation to it, advice should be sought in the first instance from the Research Ethics and Governance Officer.

**1.2 Background**

The University has been a signatory of the Concordat to Support Research Integrity since 2017. As a signatory, the University of Roehampton is committed to the following five commitments:

1. upholding the highest standards of rigour and integrity in all aspects of research
2. ensuring that research is conducted according to appropriate ethical, legal and professional frameworks, obligations and standards
3. supporting a research environment that is underpinned by a culture of integrity and based on good governance, best practice, and support for the development of researchers
4. using transparent, timely, robust and fair processes to deal with allegations of research misconduct should they arise
5. working together to strengthen the integrity of research and to review progress regularly and openly

In order to fulfil these commitments, the University is responsible for:

* Maintaining a research environment that develops good research practice and a culture of research integrity, as described in commitments 2 to 5.
* Maintaining and demonstrating the policies, procedures, and mechanisms that support and enable that culture, including appropriate training provision, and appropriate ethics, legal, and research misconduct policies
* Ensuring researchers understand and act according to expected standards, values and behaviours, and defending them when they live up to these expectations in difficult circumstances

While the University has an important role to play, the primary responsibility for ensuring that they act in accordance with the principles of good research in all aspects of their research work, including peer review, lies with the researcher. Researchers are responsible for:

* understanding and maintaining the expected standards of integrity, rigour and self-regulation relevant to their research
* informing themselves of developments in relevant subjects and disciplines, including their methodologies
* observing fairness and equity
* avoiding, or declaring, conflicts of interest
* ensuring the health and safety of those associated with research
* observing all legal and ethical requirements laid down by the University and other relevant bodies
* ensuring that research methods and results should, subject to appropriate confidentiality in relation to personal or commercially protected information, be open to scrutiny and debate

In accordance with the Concordat, the University Research Integrity and Ethics Committee, on behalf of the University, provides a short [annual statement](https://www.roehampton.ac.uk/research/ethics/) which outlines activities in relation to, and adherence with the concordat.

1. **Principles of Good Research Practice**

The University expects the following principles, identified in the Concordat to Support Research Integrity, to be integrated into all aspects of research and scholarly activity:

* + - **Honesty** in all aspects of research, including in presentation of research goals, intentions and findings; in reporting on research methods and procedures; in gathering data; in using and acknowledging the work of other researchers; and in conveying valid interpretations and making justifiable claims based on research findings.
    - **Rigour** in line with prevailing disciplinary norms and standards: in performing research and using appropriate methods; in adhering to an agreed protocol where appropriate; in drawing interpretations and conclusions from the research; and in communicating the results.
    - **Transparency and open communication** in declaring conflicts of interest; in the reporting of research data collection methods; in the analysis and interpretation of data; in making research findings widely available, which includes acknowledging and sharing negative or null results to recognise their value as part of the research process; and in presenting the work to other researchers and to the general public.
    - **Care and respect** for all participants in and subjects of research, including humans, animals, the environment and cultural objects. Those engaged with research must also show care and respect for the stewardship of research and scholarship for future generations. The safety and well-being of all involved should be ensured via the avoidance of risk or harm.
    - **Accountability** of funders, employers and researchers to collectively create a research environment in which individuals and organisations are empowered and enabled to own the research process. Those engaged with research must also ensure that individuals and organisations are held to account when behaviour falls short of the standards set within this guide

These core elements of research integrity are the values which ensure trust and confidence in research. They apply to all aspects of research, including the preparation and submission of grant and project proposals, the publication and dissemination of findings, and the provision of expert review on the proposals or publications of others (peer review).

Additional principles of good research practice identified by the University are:

* **Excellence**: The University and its researchers should strive for excellence when conducting research and aim to produce and disseminate work of the highest quality.
* **Integrity**: 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.
* **Co-operation**: The University and its 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.
* **Accountability**: The University and its 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.
* **Training and Skills**: Training and opportunities for development should be provided for researchers, along with 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.

1. **Governance, Leadership, Supervision and Training**

**3.1 Governance**

The University’s research-related operations are overseen by the Research and Knowledge Exchange Committee, Research Integrity and Ethics Committee, and the Research Degrees Committee. .

**3.2 Leadership**

. As Chair of the University Research and Knowledge Exchange Committee, the Vice-Chancellor is charged with overall responsibility for research conduct in the University on behalf of the University Council. Research leadership is delegated to thePro-Vice Chancellor (Research and External Engagement) . Deans of School/ Faculties and the Directors of Research and Knowledge Exchange Centres (or designated equivalents) are responsible for ensuring good research conduct in their respective areas,. that the research culture is embedded at School/ Faculty level, and that all staff involved in research are made aware of this guide and its contents, as well as other relevant policies. Other senior research staff should ensure that they create and maintain an environment that ensures good research conduct. Those leading groups of research staff (including principal investigators) are responsible for ensuring that good practice is upheld during the conduct of research activities

**3.3 Training, Mentoring and Supervision**

The University seeks to ensure there are excellent provisions for training and development to enable researchers to attain the necessary skills for their current role, and to support their future career development. Training does not only include formal workshops and courses but also access to guidance and briefings, as well as managerial and peer support. Individuals with line management or supervision responsibilities should encourage their staff to undertake appropriate subject-specific and transferrable skills training, by making opportunities known to them and by giving advice on personal development. At Roehampton, Research and Knowledge Exchange Workshops and training resources provide guidance on research integrity and ethics and good research and clinical practice. The Research Student Development Programme (RSDP) is informed by the [Researcher Development Framework](https://www.vitae.ac.uk/researchers-professional-development/about-the-vitae-researcher-development-framework), a professional development framework for planning, promoting and supporting the personal, professional and career development needs of researchers.

All doctoral researchers should receive good supervision, including the training appropriate to discipline and research topic. The RSDP, which must be completed by all doctoral candidates, provides general training on research integrity and ethics, in addition to discipline-specific training on research integrity in clinical and fieldwork contexts. Doctoral students are expected to agree tailored training needs with their supervisory team. Staff members undertaking doctoral supervision must ensure that their students are informed of and adhere to the principles in this guide.

The [Concordat to Support the Career Development of Researchers](https://www.vitae.ac.uk/policy/concordat-to-support-the-career-development-of-researchers) consists of a set of key principles for the support and management of researchers. Aligned with the principles of the Concordat, the University will: monitor and review policies and practices for the employment of research staff; organise transferable skills training, including training for mentors; ensure that line managers are aware of their roles and responsibilities; include provision for research staff in staff development programmes; monitor through the appraisal process, research planning process and exit interviews/ questionnaires.

Researchers work in a variety of research contexts and environments, which require adherence to a range of changing ethical, legal and professional obligations. Researchers should ensure they have the necessary training to fulfil these responsibilities, and should raise training needs with their Deans of School/ Faculty in the first instance.

**3.4 Supporting New Researchers**

Individuals with line management, supervision or mentoring responsibilities are expected to ensure researchers receive appropriate induction, even if they have previously worked elsewhere in the University. They should: ensure that new researchers have reasonable access to relevant managers and appropriate guidance, and are aware of relevant policies and regulations; arrange regular review meetings to plan training and development; where possible, seek additional funds within externally funded projects to support the development of researchers; provide guidance on career planning; and ensure that researchers are involved in the wider life of the School/ Faculty.

1. **Undertaking Research**

**4.1 Research Design**

Appropriate research design should ensure that findings are robust and defensible. Wherever possible, research designs should include quality assurance measures and protocols for ongoing monitoring and evaluation. Consideration should be given to project management and the roles and responsibilities of the key individuals involved. Researchers should be prepared to make research designs available for peer-review when submitting research reports for publication and should be able to evidence the quality of the research design, data collection processes and analysis.

When designing research projects, researchers should ensure that:

* + - 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;
    - the design of the study is appropriate for the question(s) being asked and addresses the most important potential sources of bias;
    - 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;
    - Routine monitoring processes should be built into research designs in order to check on progress against aims, objectives and indicators, and to ensure research quality.
    - 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;
    - sufficient resources will be available to carry out the proposed research and that these resources meet all relevant standards; and
    - any issues relating to the above are resolved as far as possible prior to the start of the research.

Researchers are advised to clearly document every stage of the project, with entries signed and dated to help protect intellectual property rights. Such evidence should be retained for an appropriate period after the research has been completed, in order to assist in registering appropriate intellectual property rights, or with making or defending appropriate challenges to such rights (see Data Retention, section 7).

The potential to exploit intellectual property should be considered at the design stage The potential to generate social, economic, cultural and environmental impact beyond the academic discipline should also be considered as early as possible and measures put in place to facilitate this and to ensure appropriate ethical frameworks are put in place.

**4.2 Funding**

The University encourages all staff to seek external funding for research projects. However, it is important to note that funding should not be sought from any source whose aims and objectives might conflict with the University’s core values of inclusion, tolerance and respect, or undermine the integrity of the University, and funding applications of this kind will not be supported, nor grants accepted.

The provider of funding for a research or other project:

* should not prejudice the outcome of the project or curtail publication of the results;
* should be asked, where appropriate, to declare any interests that might conflict with the University’s values or might be prejudicial to the outcome of a project or undermine the integrity of the University;
* should not have a mission or aims that conflict with the University’s values or would undermine the integrity of the University;
* should not impose any terms or conditions to the funding that are inconsistent with University policy, the University's financial regulations, or conflict with the University’s values.

Where providers of funding might raise ethics issues, cases will be considered by the Research Integrity and Ethics Committee. Examples of funding providers that would need careful consideration before the University accepted the funding include:

* those whose main business is armaments, gambling or tobacco
* those who have a record of abuse of human or animal rights or of the environment as legally defined
* those who do not support the values of the University
* those whose reputation is such that it would bring the University into disrepute through association

This list is not definitive.. In cases of doubt advice should be sought in the first instance from the Head of Research and Knowledge Exchange Development at [bids@roehampton.ac.uk](mailto:bids@roehampton.ac.uk).

All applications for research funding (whether or not Roehampton is leading) must go through the required University procedures, including appropriate sign-off, within the identified timeframes. Awards are made to the University not the individual, hence contracts must be signed by appropriate University signatories.

**4.3 Ethical and Legal Requirements**

It is the University’s expectation that the lead researcher should undertake an ethical review and carry responsibility for risk assessment and the applicability of health and safety regulations (see sections 4-7); all researchers should be aware of the individual with whom this responsibility lies prior to the commencement of the research (this includes projects where the lead researcher is not a member of University of Roehampton). The appropriate timescales and mode of data storage should be confirmed in writing at the outset of the research project. There should also be clarity as to the ownership and use of, where relevant: data and samples used or created in the course of the research, the results of the research and equipment paid for by sponsors.

All research that involves humans or animals potentially gives rise to ethical issues. Research projects involving humans or animals should be subjected to an appropriate level of ethical scrutiny prior to the commencement of the research, and an ethics application should be submitted for review as necessary under the procedures of the University of Roehampton’s Research Integrity and Ethics Committee. For further information, please see the [University Ethics Guidelines](http://www.roehampton.ac.uk/Research/Ethics/Ethics-Forms/). The Guidelines also include information on working with children and vulnerable adults - please see the [Safeguarding Policy](https://www.roehampton.ac.uk/Corporate-Information/Policies/).

Researchers are responsible for the self-referral of their research projects for ethics approval, and this is the best way for researchers to protect themselves against any ethical issues that may arise in relation to their research. Failure to apply for ethics approval when required by the nature of the research may be considered as research misconduct.

Initial queries can be referred to the University Research Ethics and Governance Officer at [ethics@roehampton.ac.uk](mailto:ethics@roehampton.ac.uk).

The following should be considered for all research:

* Any research involving human or animal participants or personal data from human beings will require ethics approval.

– please see the Ethics Guidelines for further information

* Compliance with the University’s Ethics Guidelines and the guidelines of appropriate external Ethical Committees is essential
* Any special standards of work performance and ethical conduct imposed by law, Research Councils, other funders of research, professional or statutory bodies or by the University in relation to particular categories of research are deemed to be included in this code in its application to staff and students engaged in that research in the University.
* Experimentation on animals is strictly controlled by the Home Office and procedures with vertebrates or cephalopods can only be conducted by licensees in accordance with the Animals (Scientific Procedures) Act of 1986 (see below).

**4.4 Research with Animals**

Any research projects involving animals, including purely observational projects, are subject to Ethics approval, and any involving interventions are sent to the Animal Research Regulatory Compliance Advisor for scrutiny, in additional to review by the School. Researchers should ensure that the proposed research accords with the [Animal Experimentation: Guide to Research and Ethics](https://www.roehampton.ac.uk/research/ethics/ethics-forms/). Unless the proposed project is observational, or involves invertebrates (excluding cephalopods), researchers should also consult the Home Office Guidance on Animal testing and research. Where University staff or students are associated with research involving animals, including work off site, researchers should consider at an early stage the opportunities for reduction, replacement and refinement of animal involvement.

**4.5 Collaborative Working & International Research**

Where research is being conducted collaboratively, and particularly within interdisciplinary or international partnerships, there needs to be clear agreement on and articulation of the standards and frameworks that will apply to the work, including in any formal written agreements or contracts. In addition to this guide, researchers should be aware of and adhere to the standards and procedures for the conduct of research followed by any organisations with which they are undertaking collaborative research. Similarly, researchers should ensure collaborating partners are aware of and adhere to the standards and procedures outlined in this guide. Researchers should ensure the agreement of, and compliance with, common standards and procedures for the conduct of collaborative research, in consultation with support departments and research managers as necessary, including the Contracts Advisor. 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.

The [European Code of Conduct for Research Integrity](http://www.allea.org/allea-publishes-revised-edition-european-code-conduct-research-integrity/)provides helpful advice on this.

**4.6 Conflicts of Interest**

A conflict of interest, whether real or that which could be perceived as such by others, could inappropriately affect, and possibly compromise, the validity or integrity of research. Researchers must make full disclosure of any potential or actual conflict of interest in research. Conflict of interest includes but is not restricted to personal or close family affiliation to or financial involvement with any organisation sponsoring or providing financial support for a project undertaken by a researcher. Any potential conflicts of interest, whether legal, ethical, moral, financial, personal, or other, must be identified, declared and addressed, and should be disclosed to the appropriate Dean of School/ Faculty as soon as possible who will determine what further action should be taken. That action may involve consultation with the funding body, journal editors, publishers, University departments or other parties to ensure that the conflict of interest does not compromise the research, or the University’s interests. For further information please see the [University Conflict of Interest Policy](https://www.roehampton.ac.uk/Corporate-Information/Policies/) and the [University Anti-Corruption & Bribery Policy](https://www.roehampton.ac.uk/Corporate-Information/Policies/).

**4.7 Risk, Risk Assessment and Insurance**

Researchers should conduct a risk assessment of the planned study to determine:

* + - whether there are any ethical issues and whether approval under the procedures of the University of Roehampton’s Research Integrity and Ethics Committee is required;
    - the potential for risks to the organisation, the research, or the health, safety and wellbeing of researchers and research participants; and
    - what legal requirements govern the research.

[Guidance on completing a risk assessment](http://staff.kingston.ac.uk/C16/insuranceandrisk/default.aspx) is available from the [Health & Safety Office](https://portal.roehampton.ac.uk/information/healthandsafety/Pages/risk-assessment.aspx), along with a general Risk Assessment Form. There is a separate [Ethics Risk Assessment form for Ethics Applications](https://www.roehampton.ac.uk/research/ethics/ethics-forms/) and a Health and Safety Compliance Declaration, as well as an [Ethics Overseas Background Information form](https://www.roehampton.ac.uk/research/ethics/ethics-forms/) if the research is to be carried out overseas: in such cases the UK Government Foreign Office website should be consulted to ascertain any risks specific to the country being visited. The University recommends that anyone who is required to undertake such assessments is trained appropriately. Researchers should try to anticipate any risk that the proposed research might produce results that could be misused for purposes that are illegal or harmful. Any risks should be addressed as far as possible, in consultation with the Health and Safety Office as necessary.

The University is committed to improving sustainability performance. Due consideration should be paid to the environmental impact of all research projects, including related outputs such as products or services. For further information please see the [University Environmental Policy and the Sustainable Procurement Policy](https://www.roehampton.ac.uk/Corporate-Information/Policies/).

All research projects must have sufficient prior arrangements for insurance and indemnity. The Finance Department is responsible for advising researchers on the management of insurable risks and other contingent events that may have an adverse effect on the University. Note that the University is not routinely insured to conduct clinical trials and cover should be arranged if, and when, appropriate through the University Finance Department.

**4.8 Health & Safety**

All research must be carried out in a manner that complies with the University’s [Health and Safety Policy](https://www.roehampton.ac.uk/Corporate-Information/Policies/), along with any reasonable additions requested by the Health and Safety Office, who can be consulted if there are any concerns about the project. School/ Faculty safety procedures and handbooks may detail local safety rules and Standard Operating Procedures (SOPs) which must be obeyed. Researchers should receive adequate information, training and monitoring regarding safe practices.

All research should be conducted in an environment which is safe with respect to the researchers involved, the University community, the general public and the wider physical environment. All use of hazardous materials and processes should be subject to University risk assessments and health and safety procedures. Waste materials should be disposed of with due regard for appropriate health, safety and environmental regulations. Staff who are conducting research involving the taking and/or storage of human tissue should contact the Human Tissue Authority (HTA) Representative in the School of Life and Health Sciences.

Employees have responsibilities to take reasonable care of themselves and other people affected by their work activities and to co-operate with the University in meeting their legal obligations. Researchers who could be considered to be ‘lone workers’ should note the [health and safety guidance on the risks of lone working](http://www.hse.gov.uk/pubns/indg73.pdf). This includes researchers who work by themselves without close or direct supervision; those who work from home; those who work outside normal hours; those who are working away from their usual fixed base; those working on the premises of other organisations or in other persons’ homes. Please see the [University Lone & Remote Working Policy](https://www.roehampton.ac.uk/Corporate-Information/Policies/) and the [Home Visits or Working in the Community](https://portal.roehampton.ac.uk/information/healthandsafety/Pages/lone-working.aspx) documents for further information.

If a member of staff believes that the health or safety of any individual has been, or is likely to be endangered, or that the environment has been, or is likely to be damaged, then they should seek advice from the University’s Head of Health and Safety at the earliest stage possible.

**4.9 Financial Requirements & Post-Award Procedures**

The Research Office in conjunction with the Finance Department provides guidance on contracts and on managing funding bids and grants.

Purchasing and expenditure of funds should take place in accordance with the terms and conditions of any grant or contract held for the research and the University’s [Financial Regulations](https://portal.roehampton.ac.uk/information/finance/financial-regulations/Pages/default.aspx). Advice on compliance with the Financial Regulations may be sought from the Finance Department.

Researchers should ensure that the terms and conditions of any grant or contract related to the research are adhered to and comply with organisational guidelines regarding the use and management of finances relating to research projects. Guidelines related to the purchasing or procurement of materials, equipment or other resources for research can be obtained from the Finance Department. Researchers are expected to co-operate with any monitoring and audit of finances relating to research projects and report any concerns or irregularities to their School/ Faculty Accountant as soon as they become aware of them.

The Principal Investigator is responsible for the overall management of the research project. Post-Award administrative support should be costed into large bids. School/ Faculty Accountants can assist with the financial management of grants. Advice should be sought from them in the first instance.

1. **Publication and Authorship**

**5.1 Peer Review**

Thorough and objective peer review is an important part of good practice in research and particularly 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. Researchers should make use of formal and informal peer review throughout the course of the research, including the design stage, and should make every effort to allow research to be peer reviewed prior to it being published, publicised or disseminated.

Researchers are encouraged to act as peer reviewers, both internally and externally. They should maintain confidentiality and not retain or copy any material under review without the express written permission of the individual or 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.

**5.2 Publication and Intellectual Property**

Researchers have a duty to publish and disseminate research accurately and without selection that could be misleading. The University encourages publishing or otherwise disseminating in prestigious, high-impact outlets. Articles in internationally recognised peer refereed journals and dissemination in the form of books, monographs, or other practice-based research outputs are encouraged. Any errors or retractions found to be necessary should be published as soon as is possible.

Submitting research reports to more than one potential publisher at any given time or publishing findings in more than one publication without disclosure and appropriate acknowledgement of any previous publications is unacceptable.

The University recommends that funders or other sponsors should be informed of any potential publication or dissemination of the research findings. This will enable the sponsor to have adequate time and accurate information to liaise with the University in order to protect any arising intellectual property, or to plan public relations. Any contractual terms relating to dissemination/ publication must be complied with.

Research can lead to results that have the potential to be exploited commercially. Research outcomes in this category may need protection via nondisclosure or other agreements and the filing of patents. In certain cases, it may be necessary for non-disclosure agreements to be in place before the research is undertaken, and advice should be sought from the Contracts Adviser at the research design stage in the first instance. As soon as research results are in the public domain, which includes any form of disclosure to third parties, options for exploitation are inhibited. Researchers should not give prior disclosure of research or the findings of research when this might invalidate any commercial property rights that could result. However, any delay in publication and dissemination pending protection of intellectual property should be kept to a minimum. Where research involves a student who will necessarily be required to produce a dissertation or thesis for external marking and publication, any contract with a sponsor must reserve these rights for the student, even if the publication of such work is to be on a restricted basis only.

Note that intellectual property rights can only be adequately protected if researchers have kept thorough, accurate and contemporaneous research records. All intellectual property, know-how, products and materials generated by University employees in the course of University approved research projects are and remain the property of the University unless otherwise agreed. However, the University may agree to share the value or proceeds of these with external sponsors, funders, or collaborators subject to the terms of the appropriate contract(s) in place. Normally such agreements will be negotiated at the research proposal stage and the University will be bound by any such contracts entered into formally. In instances where the research has been developed internally and the opportunity to share intellectual property arises after research has commenced, advice should be sought from the Contracts Adviser in the first instance at the earliest possible point.

As a general principle, the University owns all intellectual property developed, made or created by employees, but recognises a research student as the owner of any intellectual property they produce while registered as a student at the University. Assignments of those rights to the University or a third party may be necessary depending on the terms of the agreements in place with funding bodies and/or sponsors, or in instances where one or more of the supervisory team is affiliated to a third party organisation, or where the research is co-produced by the student and their supervisor/s or another third party. If such an assignment is required, the student must be informed, and their consent obtained before any research commences.

For further information see the [University Intellectual Property Policy](http://www.roehampton.ac.uk/Corporate-Information/Policies/).

**5.3 Authorship and Acknowledgement**

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. The authors of a publication are responsible for its content. When there is a large number of contributors, their contributions must be acknowledged, and agreement reached about authorship and copyright. Further information on copyright can be found in the [University Intellectual Property Policy](http://www.roehampton.ac.uk/Corporate-Information/Policies/). The University expects authorship to be based on 1) substantial contributions to conception and design, or acquisition of data, or analysis and interpretation of data; and 2) drafting the article or revising it critically for important intellectual content. The practice of honorary authorship is unacceptable.

Anyone listed as an author should accept responsibility for ensuring that they are familiar with the contents of the paper and can identify their contribution to it. Researchers should list the work of all contributors who do not meet the criteria for authorship in an acknowledgements section. It is standard practice to acknowledge funding sources in publications or publicity unless the sponsor states otherwise. 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.

**5.4 Dissemination**

Researchers have a duty to disseminate their research as widely as possible, especially to those who will benefit directly from it, and to publish or otherwise make publically available research findings and data where it will have the greatest visibility and impact. Open access publishing of journal articles is required by United Kingdom Research and Innovation and Research England, and open access publication of all research outputs is a requirement of an increasing number of major research funders. The University expects that all researchers will capture and preserve their intellectual output, adhere to the principles of Open Research as articulated in the [UK Concordat on Open Research Data,](https://www.ukri.org/wp-content/uploads/2020/10/UKRI-020920-ConcordatonOpenResearchData.pdf) and comply with Open Access regulations set by research funders and national research bodies. The details of all published research outputs should be made available through PURE, the University of Roehampton’s Current Research Information System, which also acts as its repository, and made Open Access where possible. Staff are also encouraged to deposit research data in an external repository, where appropriate regarding UK GDPR, and link the data to a dataset record in Pure.

Communicating research to the wider public is fundamental to the University’s mission. Advice on media work and external publicity for research should be obtained from the University’s Communications Department. This is particularly vital when researchers are working in partnership with, or have had work commissioned by, other organisations, businesses or institutions.

1. **Impact, public engagement, and knowledge exchange**

*Impact* is defined as the positive effects and changes research has beyond an institution – and the ways in which research programmes and design are affected by and respond to the needs of non-academic stakeholders. It can be economic, social, or cultural in nature, and it can occur at all levels from the very local to the global.

*Knowledge exchange* describes the process whereby academic research is shared with, responds to, and is informed by the exchange of expertise, findings, outputs or methodologies with external stakeholders. Knowledge exchange often leads to impact.

*Public engagement* describes the ways in which researchers share their research with the public, engage with communities, and enable opportunities for researchers and members of the public to exchange ideas. Public engagement, like knowledge exchange, often leads to impact.

Ensuring the social, cultural, and economic impact of publically-funded research is central to the University’s core values and our mission to change the world for the better through our research. Impact, along with knowledge exchange and public engagement, is vital to developing and maintaining a healthy, outwardly-engaged research culture, and it is increasingly an expectation of funding providers and of national research monitoring bodies that impact outcomes will be embedded in research design.

Engaging in such externally-facing activity has additional implications for research integrity, and may require that you take additional steps to ensure such activity meets the expected standards of rigour and integrity, as well as meeting all ethical and legal requirements. Researchers should consult with the Research Impact Team at the project design stage on any programmes of work involving public engagement or knowledge exchange, or other pathways to impact.

**6.2 Public engagement**

Public engagement is often a key pathway to impact. The [Concordat for Engaging the Public with Research](https://www.ukri.org/wp-content/uploads/2020/10/UKRI-151020-ConcordatforEngagingthePublicwithResearch.pdf) highlights the importance of public engagement to help maximise the social and economic impact of UK research, and gives the following as some examples of engaging with the public:

• Working with museums / galleries / science centres and other cultural venues

• Creating opportunities for the public to inform the research questions being tackled

• Researchers and members of the public working together to inform policy

• Presenting to the public (e.g. public lectures or talks)

• Involving the public as researchers (e.g. web based experiments or citizen science)

• Engaging with young people to inspire them about research (e.g. workshops in

schools)

• Contributing to new media-enabled discussion forums

Researchers should find ways to increase the accessibility of research to the public, take account of public views and concerns, including those which might challenge their own ideas, and encourage public participation in research. As with other impact activity, researchers should also carefully consider the ethical, health and safety, reputational risk, and data protection needs of any public engagement activity.

**7. Data Protection and Storage**

**7.1 Data Protection**

It is a legal requirement that the University and its researchers adhere to data protection laws and regulations and doing so is fundamental to good research integrity practices. All researchers are expected to comply with this guidance and all other policies, procedures and guidance relating to data protection.

For further information see the following on the [Universities Policy Pages](http://www.roehampton.ac.uk/corporate-information/policies/): Data Protection Policy, Data Protection Guidance for Researchers, Data Subject Rights Procedure and Freedom of Information Policy.

Researchers who are unclear on data protection principles, conditions for data processing (including the handling of sensitive data) and their responsibilities should contact the Research Ethics and Governance Officer, The University Secretary or the **Information Access Manager (and Data Protection Officer).**

* The following general principles should be adhered to:Research data must be recorded accurately (where appropriate, signed and dated by the Investigator) and in a durable and auditable form, with appropriate references so that they can be readily recovered.
* Research data must normally be retained intact according to the University [Records Retention Schedule](https://www.roehampton.ac.uk/corporate-information/policies/). Researchers should be aware that specific professional bodies and research councils may require a longer period of data retention.
* It is the duty of the principal investigator in any research project to comply with the regulations of the current Data Protection Act in force and to ensure that copyright, third party intellectual property rights, and confidentiality are not breached. Principal investigators are also responsible for adhering to the provisions of the Act with respect to the treatment of research participants’ personal data. In some circumstances individual members of staff can be held personally liable for breaches of the Act.
* Specific arrangements should be made to protect the security of research data where there is a contractual or ethical requirement to do so.
* In general, academic enquiry and debate require openness, but confidentiality provisions relating to publication may apply in circumstances where the University or the researcher has made or given confidentiality undertakings to third parties, confidentiality is required to protect intellectual property rights, or it is required pursuant to provisions to relevant legislation such as the Data Protection Act. It is the obligation of the researcher to ascertain whether confidentiality provisions apply and of the Research Office to inform researchers of their obligations with respect to these provisions.
* Data gathered in the course of research projects remain the property of the University unless otherwise agreed by contract with a research sponsor, collaborator or funder. Those who wish, on leaving the University, to retain data or make copies should seek authorisation from the Dean of School/ Faculty, in consultation with the University Secretary’s Office as appropriate. Such authorisation, if given, will be subject to guarantees that the requirements of these guidelines and those of the Data Protection Act will be adhered to.

**7.2 Storage of Data**

The loss of primary data is common to cases of misconduct and would justify a prima facie assumption of negligence, if not dishonesty. Researchers must ensure that clear and accurate records of research procedures and results are maintained. All data relating to research projects must be kept securely, in accordance with the [Data Protection and Storage Guidance for Researchers](https://www.roehampton.ac.uk/globalassets/documents/corporate-information/policies/data-protection-guidance-for-researchers-v1.1-august-2018.pdf). Data must be available for reference, verification and audit.

**8. Research Misconduct**

**8.1 Misconduct**

Research misconduct is characterised as behaviour or actions that fall short of the standards of ethics, research and scholarship required to ensure that the integrity of research is upheld. The University’s approach to Research Misconduct has been informed by the [Procedure for the Investigation of Misconduct in Research (UKRIO, August 2008)](https://ukrio.org/publications/misconduct-investigation-procedure/). The University of Roehampton’s policy adheres to the principles of the procedures laid out by the UKRIO.

Academic misconduct or academic fraud in the research context can be defined as committing an act whereby the researcher knowingly and deliberately seeks to corrupt, misrepresent or falsify the outcomes of academic and/or professional study, scholarship and/or research. Academic misconduct or fraud,as they relate to research, include but are not limited to:

1. misrepresenting the work or expressed thoughts of others as one’s own without prior permission or acknowledgement (plagiarism)
2. fabrication of:
3. the results of work which one falsely claims to have undertaken (for example, experiments, interviews, observations or other forms of research and investigation)
4. results which one has not obtained
5. results by omission from analysis and publication of selected components of a data set
6. research dissemination (for example: false claims of publication of work)
7. deliberate exploitation of ideas and concepts of others without acknowledgement
8. cheating or otherwise disclosing information with the intent of gaining for oneself or for another an unfair advantage
9. intentional damage to, or removal of, the research-related property of another
10. intentional non-compliance with the terms and conditions governing the award of external funding for research or with the University’s policies and procedures relating to research, including accounting requirements, ethics, and health and safety regulations
11. failure to meet ethical, legal and professional obligations: for example failure to declare competing interests; misrepresentation of involvement or authorship; misrepresentation of interests; breach of confidentiality; lack of informed consent; misuse of personal data; and abuse of research subjects or materials
12. improper dealing with allegations of misconduct of misconduct: failing to address possible infringements such as attempts to cover up misconduct and reprisals against whistle blowers
13. misconduct in research includes acts of omission as well as acts of commission.

This list is not intended to be exhaustive.

Honest errors and differences in, for example, research methodology and interpretations, are not examples of research misconduct.

**8.2 Procedures for Dealing with Allegations of Misconduct**

1. Reference should be made to the Procedure for the Investigation of Misconduct in Research (UKRIO, August 2008) prior to any use of the Universities standard disciplinary process. Adherence to these procedures is vital to ensure compliance with the suggestions of the UKRIO and to supplement the University of Roehampton’s already stringent procedures.
2. The procedures relating to staff misconduct in the prosecution of research are set out in the [University Staff Disciplinary Procedure](https://portal.roehampton.ac.uk/information/humanresources/Pages/Guidance,-Policies-and-Procedures.aspx). Any allegation or complaint of academic misconduct or fraud in research will be investigated and dealt with under those Regulations.
3. The procedures relating to student misconduct in the prosecution of research, are set out in the [Student Disciplinary Regulations](http://www.roehampton.ac.uk/Current-Students/Student-regulations/) and the [Student Code of Conduct](http://www.roehampton.ac.uk/Current-Students/Student-regulations/). Any allegation or complaint of academic misconduct or fraud in research will be investigated and dealt with under those Regulations.
4. Victimisation or reprisals against a person making in good faith an allegation of misconduct will be regarded as a disciplinary offence and handled in accordance with the Regulations, as will vexatious, malicious or frivolous allegations of misconduct made by members of staff or students.
5. The basis for reaching a conclusion that an individual is responsible for misconduct in research relies on a judgement that there was an intention to commit the misconduct and/or recklessness in the conduct of any aspect of a research project. Where allegations concern an intentional and/or reckless departure from accepted procedures in the conduct

of research that may not fall directly within the terms detailed above, a judgement should be made as to whether the matter should be investigated using the Procedure. (Procedure for the Investigation of Misconduct in Research, UKRIO, August 2008)

Related information can be found in the [Public Interest Disclosure Policy](https://www.roehampton.ac.uk/Corporate-Information/Policies/)  [(Whistleblowing)](http://staff.kingston.ac.uk/C0/Part%201%20all%20staff/default.aspx).

**8.3 Who to contact with concerns about formal allegations of and suspected misconduct**

Concerns about research misconduct, including formal allegations of and suspected misconduct, should be raised with the University Secretary, as an independent contact. Anyone external to the University wishing to report suspected research misconduct should also contact the University Secretary.

**9. Useful Resources**

**9.1 University of Roehampton Documents**

The elements to ensure good research practice are expanded on in other University policies and procedures, and attention is drawn to the following University documents:

* [Anti-Corruption & Bribery Policy](https://www.roehampton.ac.uk/corporate-information/policies/)
* [Consultancy Policy](https://www.roehampton.ac.uk/corporate-information/policies/)
* [Data Breach Procedure](https://www.roehampton.ac.uk/corporate-information/policies/)
* [Data Protection Policy](https://www.roehampton.ac.uk/corporate-information/policies/)
* [Equality and Diversity Policy](https://www.roehampton.ac.uk/corporate-information/policies/)
* [Data Protection Guidance for Researchers](https://www.roehampton.ac.uk/corporate-information/policies/)
* [Data Subject Rights Procedure](https://www.roehampton.ac.uk/corporate-information/policies/)
* [Ethics Guidelines](https://www.roehampton.ac.uk/research/ethics/ethics-forms/)
* [Financial Regulations](https://portal.roehampton.ac.uk/information/finance/financial-regulations/Pages/default.aspx)
* [Health and Safety Policy](https://www.roehampton.ac.uk/corporate-information/policies/)
* [Intellectual Property Policy](https://www.roehampton.ac.uk/corporate-information/policies/)
* [Records Management Policy](https://www.roehampton.ac.uk/corporate-information/policies/)
* [Records Retention Schedule](https://www.roehampton.ac.uk/corporate-information/policies/)
* [Research Degrees Handbook](https://www.roehampton.ac.uk/globalassets/documents/graduate-school/current-students/122021/research-degrees-handbook-2021-22.pdf)

**9.2 External Documents and Useful Resources**

In addition to its own Guide the University requires those engaged in research to be fully aware of, and in compliance with, the appropriate external protocols and statements governing research activity. The following list is indicative, but is not intended to be exhaustive:

**Singapore Statement on Research Integrity**

[Singapore Statement on Research Integrity](https://wcrif.org/guidance/singapore-statement)

**European Science Foundation**

[European Code of Conduct for Research Integrity](http://www.allea.org/allea-publishes-revised-edition-european-code-conduct-research-integrity/)

**Government Office for Science**

[Rigour, Respect, Responsibility: a Universal Ethical Code for Scientists](https://www.gov.uk/government/publications/universal-ethical-code-for-scientists)

**Research Councils UK**

[Policy and Guidelines on Governance of Good Research Conduct](https://www.ukri.org/)

**UK Research Integrity Office**

[Code of Practice for Research: Promoting good practice and preventing misconduct](http://ukrio.org/publications/code-of-practice-for-research/)

**UK Research Integrity Office**

[**Concordat to Support Research Integrity**](https://www.universitiesuk.ac.uk/sites/default/files/field/downloads/2021-08/Updated%20FINAL-the-concordat-to-support-research-integrity.pdf)

**Medical Research Council**

[Good Research Practice Guidelines](https://mrc.ukri.org/research/policies-and-guidance-for-researchers/good-research-practice/)

**The Wellcome Trust**

[Guidance on Responsible Conduct of Research](https://wellcome.org/grant-funding/guidance/responsible-conduct-research)

**The Economic & Social Research Council**[Economic & Social Research Council Framework for Research Ethics](https://esrc.ukri.org/funding/guidance-for-applicants/research-ethics/)

**Any queries about this code should be directed to the University of Roehampton Research Office** [Researchoffice@roehampton.ac.uk](mailto:Researchoffice@roehampton.ac.uk)