

Code of Good Conduct in Research

Introduction

The University is committed to promoting high standards in the conduct of research. The University expects all staff and students engaged in research to act with the highest standards of integrity irrespective of the source from which their posts or research is funded.

This Code supports the University's research culture by promoting best practice in research conduct. The Code is linked to other University policies, regulations and guidelines, including the Code of Practice on Research Ethics and procedures for investigating allegations of research misconduct.

The Code outlines the responsibilities of researchers in:

- maintaining standards of academic practice and integrity in all aspects of research;
- being accountable to society, to participants, to their profession, to the University and to funders of the research;
- being responsible for the conduct and publication of their research, and for the activities of any staff or students under their direction;
- being accountable the safety of those associated with their research projects;
- being responsible for the probity of financial management;
- being aware of all legal, regulatory and ethical requirements laid down by the University or any other relevant bodies.

The Code also makes clear that it is the responsibility of the University's Executive Board, Deans, Associate Deans of Research, Research Centre Directors and Research Management and Administration:

- to ensure that a climate is created that allows research to be conducted in accordance with good research practice;
- to make adequate provision in training and development for all researchers, allowing them to acquire necessary skills to successfully and efficiently fulfil their research and project management responsibilities;
- to provide training for supervisors in supervisory skills through a structured framework of staff development for research staff.

This Code is intended for:

- Academic, research and relevant support staff employed by the University, and other individuals carrying out research at, or on behalf of, the University;
- Postgraduate research students and their supervisors;
- Any persons with honorary positions conducting research within, or on behalf of, the University.

The term 'researchers' has been used throughout this document to refer collectively to the above groups of people. Research has been used throughout this document to refer to all aspects of the research process.

1. CONDUCT OF RESEARCH

Principles

All Researchers should seek to maintain exemplary standards of academic practice and integrity in all aspects of research by reading, understanding and incorporating these principles and professional standards into their everyday work.

All Researchers have a duty of accountability to society, to participants, to their profession, to the University and to the funders of the research, to accept full responsibility for the professionalism and integrity of all aspects of the conduct and publication of their research, and for the activities of any staff or students under their direction. This responsibility extends to reporting, in the appropriate manner, conflicts of interest, actual or potential, or suspected misconduct and concerns about poor practice.

Researchers must also accept accountability for taking steps to ensure the safety of those associated with the research process, the probity of the financial management of the research project, and for seeking to provide value for the public or private funds invested in the project. All legal, regulatory and ethical requirements established by the University or any other properly authorised bodies must be observed.

Management of Good Research Practice

Professional Standards

Honesty

Researchers must be honest in respect of their own actions and in their responses to the actions of other Researchers. This applies to all aspects of the research process, including acknowledging the direct and indirect contributions of colleagues, collaborators and others. Researchers should disclose any real or potential conflicts of interest, both financial and professional, as soon as they become apparent. All Researchers must refrain from plagiarism, falsification of results, infringement of intellectual property rights, or other forms of misconduct.

The repercussions of failing to behave honestly in any of these, or other, actions can be widespread and may be regarded as a disciplinary offence.

Openness

Researchers should be as open as possible with other Researchers and the public in discussing their work and making it widely available. Once results have been published, the University expects researchers to make available relevant data and materials to others, on request, as far as confidentiality, ethics approvals, and protection of intellectual property rights and other arrangements will allow. Researchers should contact the Research Management and Administration department for advice on releasing results that might affect the potential to protect the research at a later date.

The University recognises that publication of the results of research may need to be delayed for a reasonable period to enable the University or the research sponsor to exploit or protect intellectual property arising from the research. However, any such periods of delay in publication should be kept to a minimum.

Accountability

Where available, the University expects researchers to observe the standards of practice set out in guidelines published by funding bodies, and other relevant professional bodies.

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

Integrity

Researchers must be honest about conflict of interest issues, whether real, potential or perceived, at the earliest opportunity and at all stages of research, e.g. when applying for funding, when identifying collaborators and when reporting results. Plagiarism, deception or the fabrication or falsification of results is regarded as a serious disciplinary offence. All researchers are encouraged to report cases of suspected misconduct or malpractice and to do so in a responsible and appropriate manner in accordance with the University's procedures for dealing with misconduct in research and for disclosing concerns about malpractice.

2. LEADERSHIP AND CO-OPERATION IN RESEARCH GROUPS

Within the University, it is the responsibility of the Vice Chancellor, Deputy Vice Chancellors and Heads of Colleges to ensure that a climate is created that allows research to be conducted in accordance with good research practice.

3. ACCOUNTABILITIES

The Dean of Research shall have overall responsibility for overseeing the review and implementation of this Code and is the person to whom any genuine concerns or allegations may be taken.

Within a College responsibility lies with the Associate Dean of Research. Within a University Research Centre responsibility lies with the Research Centre Director.

These individuals are responsible for creating an environment of mutual co-operation where all members of a research team are encouraged to develop their skills and in which the open exchange of ideas is fostered.

Project Managers

All research projects should have a designated Project Manager. For externally funded projects this will be the Principal Investigator. For postgraduate research student projects this will be the Director of Studies. The Project Manager is the person designated as taking overall responsibility within the team of researchers for the design, conduct and reporting of the study and has responsibility for ensuring that:

- the research is carried out in accordance with this Code (and related guidelines, regulations and procedures) and that all research project staff are aware of the Code

and any research practice guidelines produced by relevant professional and other bodies;

- the dignity, rights, welfare and safety of any research participants are safeguarded;
- the project complies with all legal, contractual and ethical approval requirements;
- the University's research project approval process is adhered to for externally funded research;
- the research is carried out as defined in the original proposal to the funder, where applicable, and that any proposed changes to the protocol need to be approved by the appropriate sponsor, and the relevant research ethics committee where appropriate;
- controlled trials are registered;
- procedures are in place to collect, store and protect project data (and its integrity and confidentiality, during processing and storage), and that it is appropriately archived upon completion of the research;
- reports on research progress and outcomes are produced on schedule and to an acceptable standard;
- findings are open to critical review through accepted research and professional channels and disseminated promptly as appropriate to participants;
- the terms of any confidentiality and intellectual property rights agreements are complied with and any intellectual property arising is managed and reported appropriately ;
- any conditions regarding publication and arrangements are in place;

4. TRAINING AND SUPERVISION

4.1 Training

The University is responsible for delivering adequate provision in training and development to all researchers, allowing them to acquire necessary skills to successfully and efficiently fulfil their research and project management responsibilities. It is the Project Manager's responsibility to ensure that the required research-related training is accessed. Good practice includes the induction of researchers to their new environment and the relevant College and University procedures.

It is the responsibility of the Human Resources department, College Associate Deans of Research and Research management and Administration to ensure that new staff are provided with an induction programme that contributes to understanding and adopting best practice as quickly as possible, including appropriate research training e.g. regulatory ethics approval and consents, research design, equipment use, confidentiality, data management record keeping and data protection. It is the line manager's responsibility to ensure that this induction takes place.

4.2 Supervision

The University will provide, as appropriate, training for supervisors in supervisory skills through a structured framework of staff development for research staff.

Supervisors should ensure that research students understand their responsibility for maintaining accurate, clear, complete, durable and legible records of research activities.

Supervisors are responsible and accountable for any research student(s) that they supervise and should ensure that students should have adequate supervision, support and training.

Supervisor responsibilities for postgraduate research are outlined in the University's *Research Degrees Regulations: Code of practice for supervisors and research students*. In addition to this, they should ensure that their students are aware of and conduct research in accordance with this Code of Conduct.

5. PLANNING AND CONDUCTING RESEARCH

In applying for external funding, researchers should take all reasonable measures to ensure accuracy of information and compliance with University procedures. Purchasing and expenditure of funds should be in accordance with the terms and conditions of any grant or contract held for the research and the University financial regulations. The financial regulations are available on the University's website. Any further guidance on compliance with the financial regulations should be sought from the Finance department.

Researchers need to establish whether ethical approval is likely to be needed for a research project in accordance with the University's Code of Practice on Research Ethics, which is available on the Research website.

All research including the appointment of researchers must be carried out in a manner that complies with the University's Code of Practice on Equal Opportunities in Employment, the Concordat on Career Development of Researchers, the Health and Safety at Work Act (1974) and the Safety Regulations approved under this Act, the University's safety policies, the University's safety rules and other University safety management documents. College safety policies and handbooks should detail local safety rules that must also be followed. Advice on health and safety issues should be sought from College Health and Safety advisers.

All members of research groupings should be made aware of the:

- University's Code of Practice on Research Ethics
- Requirements on confidentiality of data and publication
- Appropriate methods of record keeping, data storage and disposal relevant to the discipline
- The importance of recognising and reporting unforeseen results or incidents
- All other relevant guidance, codes of practice and regulations related to their work

6. RESEARCH MISCONDUCT

All researchers within the University are expected to observe high standards of professional behaviour both in the practice of research and in the publication of research findings.

Research misconduct relates to fabrication, falsification, plagiarism or deception in proposing, carrying out or reporting results of research and deliberate, dangerous or negligent deviation from accepted practice in carrying out research. It includes failure to follow established protocols if this failure results in unacceptable risk or harm to humans, other vertebrates or the environment, and facilitating of misconduct in research by collusion in, or concealment of, such actions by others. It also includes intentional, unauthorised use, disclosure or removal of, or damage to, research-related property of another, including apparatus, materials, writings, data, hardware or software or any other substances or devices used in or produced by the conduct of research.

Research misconduct does not include honest error or honest differences in the design, execution, interpretation or judgment in evaluating research methods or results or misconduct unrelated to the research process. Similarly, it does not include poor research unless this encompasses the intention to deceive.

Any allegations of research misconduct will be dealt with under the University's Research Misconduct procedure (see *Procedure for the Investigation of Allegations of Misconduct in Research*). Registered students who are alleged to be guilty of plagiarism will be considered under the University's Academic Regulations and Procedures.

7. RESEARCH RESULTS

7.1 The Need for a Critical Approach

Researchers should always be prepared to question the outcomes of their research. The University expects research results to be checked carefully prior to being made public. Once made public, researchers should be prepared to defend their ideas, methods and results in an open and honest way.

It is important that researchers or research groupings should not become subject to other pressures such that the normal processes of research inquiry cannot be enforced, e.g. by constraints imposed by the source of funding of the research. Any pressure to produce results that suit the specific interests of a funder must, of course, be resisted. This is particularly the case where the individual researcher(s) could be perceived to have a conflict of interest, e.g. where they might have an equity share in the funder, or may hold a position (e.g. Director) or be involved in consultancy with the funder. Any such conflict of interest, whether real, potential or perceived, should be disclosed at the earliest opportunity to the Dean of Research.

7.2 Record Keeping

Researchers are required to keep clear and accurate records of the procedures followed and approvals granted, and of the results obtained, including interim results and final outcomes. This process demonstrates good research practice, safeguards researchers and the University from allegations of misconduct and assures auditors and research funders that robust academic supervision is in place. Maintenance of records is the responsibility of researchers, who should comply with the University's Record Management Policy. Where written records are kept, e.g. notebooks, these should be properly maintained, durable and contain legible information. Record keeping can also help to ensure that intellectual property can be protected.

Where research involves processing of personal data relating to research participants, researchers are required to comply with the terms and principles of the Data Protection Act 1998 and should refer to the University's Data Protection Guidelines.

7.3 Storage and Retention of Records

Data generated in the course of research should be kept securely in paper and/or other means of data storage as appropriate. Where documentation is stored in electronic format, researchers should ensure that back-up copies are maintained, kept securely and are in a readily accessible archive. Data should be stored in such a way that permits a complete retrospective audit, and records should be monitored regularly to ensure their completeness

and accuracy. If data relates to individuals, Researchers must ensure this is stored securely and confidentially, is not kept for longer than is necessary and disposed of at the appropriate time with due regard to security and confidentiality.

Researchers must meet specific requirements made by funding bodies for the public availability of research data and data retention e.g. several UK Research Councils require data to be kept for 10 years after the completion of a research project. Commercial organisations may require even longer periods.

For further guidance, see the University's *Research Data Management Policy*.

8. PUBLISHING RESULTS

The University encourages the publication and dissemination of results of research, in an appropriate form, such as papers in refereed journals, authored books etc. It is important that research output is peer reviewed where appropriate. Researchers should make all reasonable attempts to present their research to the academic community, potential users and to the public, ideally through Open Access (OA). Open Access scholarship is digital, online, free of charge and free of most copyright and licensing restrictions. UAL Research Online is the University's Open Access collection of its research results, and fulfils any Open Access requirements that may be required by a funding body or other external agency. Where a study has involved research participants, they should normally be informed of the outcome of the study.

A publication which is similar to other publications derived from the same research must contain appropriate reference to the other publications. Any author who submits similar work to more than one publisher should ensure that each publisher is aware of this at the time of submission.

The person with overall responsibility for a research programme, typically the Project Manager, should authorise publication of results; authorisation should cover both the content of the publication and intended place of publication. In the case of research that has been funded by an external body the Project Manager should ensure that any requirements or expectations of the funding body with regard to notification prior to publication are met.

Staff are required to deposit research publications, wherever possible, in UAL Research Online, the University's Research Repository. This provides immediate world wide open-access to the University's research, increasing visibility and allowing greater discovery of expertise in the global research community.

9. AUTHORSHIP AND ACKNOWLEDGEMENTS

The University expects anyone listed as an author on a paper or other form of output to accept personal responsibility for ensuring that they are familiar with the contents of the output and they are able to identify their contributions to it. The practice of 'honorary authorship' is unacceptable; only those who have contributed to the research should be listed.

The roles and contributions of formal collaborators and others who directly assist or indirectly support the research must be properly acknowledged. This should extend to the body or bodies funding the project, where appropriate. It should also apply when publishing

research findings, and when making public statements regarding the research. Failure to acknowledge properly all direct or indirect contributions made by other persons may be considered unprofessional conduct.

10. INTELLECTUAL PROPERTY

Intellectual Property (IP) is the general term for intangible property rights which are a result of intellectual effort. In English law the following forms of Intellectual Property Rights (IPR), the legal recognition of the ownership of IP, are recognised: copyright, patents, design rights, registered design, trademarks, know-how and confidential information.

In relation to patent applications it is important to recognise that premature disclosure through publications or discussions and the incorrect listing of inventors can lead to invalidity and loss of rights. Advice on the protection and exploitation of intellectual property can be obtained from University Enterprise and the Research Management and Administration (RMA) department.

All Researchers should make arrangements to ensure that the ownership and potential exploitation of intellectual property is clearly defined prior to the commencement of any research. Researchers should inform RMA of any IPRs that may arise from externally funded research and also inform the sponsor. Details of the University's approach to managing intellectual property are available on the University website.

11. HEALTH AND SAFETY

The University strives for a positive health and safety culture. Research may involve the use of potentially dangerous or harmful equipment, substances or organisms. The safety of participants and of researchers and other personnel or staff must be given priority at all times, and health and safety regulations must be strictly observed. Researchers should be familiar with, and comply with, the University's health and safety regulations and codes relevant to their research, such as contained in the University's Health and Safety policy.

REFERENCED UNIVERSITY POLICIES

- *Code of Practice on Research Ethics*
- *Intellectual Property Policy*
- *Research Degrees Regulations: Code of practice for supervisors and research students*
- *Procedure for the Investigation of Allegations of Misconduct in Research*
- *Records Management Policy*
- *Research Data Management Policy*
- *Health and Safety Policy*
- *Standing Financial Orders*