Code on Good Research Practice

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Please note the University Code on Good Research Practice and the associated Code of Practice on Misconduct and Fraud in Research are revised periodically to take in to account changes in legal requirements and government policy. The most up to date version of the code can be found at http://www.surrey.ac.uk/about/corporate/policies/code_on_good_research_practice.htm
Code on Good Research Practice

Preamble
The University of Surrey resolves to be an honest and ethical institution in the way in which it conducts its business and discharges its responsibilities. The University aims to promote and support an organisational culture in which high standards of personal and professional conduct in teaching and research are expected and achieved. To that end, the University will oppose academic misconduct and will take appropriate and robust action in instances where misconduct or fraud is discovered.

1 Principles
1.1 Statement of Principles
The Code on Good Research Practice ("the Code") sets out the standards of performance and conduct expected of all those engaged in academic research and consultancy¹ ("the researcher") in the University of Surrey ("the University") based on the following principles:

1.1.1 Research is defined as the pursuit and advancement of knowledge
1.1.2 Researchers should adopt the following principles in all aspects of their research:
   i. rigour, honesty, integrity, respect for life, the law and the public good, and responsible communication;
   ii. inform themselves of developments in relevant subjects and disciplines;
   iii. observe fairness and equity;
   iv. avoid, or declare, conflicts of interest;
   v. ensure the health and safety of those associated with research;
   vi. observe all legal and ethical requirements laid down by the University and other relevant bodies properly laying down such requirements;
   vii. pro-active promotion of research.

1.1.3 It is the expectation that research methods and results should, subject to appropriate confidentiality in relation to personal or commercially protected information, be open to scrutiny and debate.

¹ Hereinafter, the term "research" shall be taken to include consultancy.
1.2 Observance of the Code
All staff and students involved in academic research, as defined by HEFCE, must familiarise themselves with the Code and ensure that its provisions are observed. This includes academic staff; researchers, research students, research support staff, research managers and administrators. Deans of Faculty and other senior staff have a duty to ensure compliance with the Code within their areas of responsibility. The University will draw attention to the Code in its induction processes for newly appointed staff and students. Principal investigators and supervisors of students engaged in research will seek to ensure compliance with the Code on the part of research staff and students.

1.3 Breach of the Code
Failure to comply with the provisions of the Code may be grounds for action to be taken by the University, including its disciplinary procedures.

1.4 Advice
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 from the appropriate Dean of Faculty in the first instance. Ultimate responsibility for interpretation of the Code resides with the Deputy Vice-Chancellor, Academic Affairs.

2 Good Research Practice
2.1 Characteristics of Good Research Practice
Good research practice includes the following:

- fundamentals of research work such as: maintaining professional standards; documenting results; questioning one’s own findings; attributing and acknowledging appropriately and honestly the work of others;
- leadership and co-operation in research groups;
- taking into account the legitimate, professional needs of new researchers;
- securing and storing primary data;
- compliance with required practice in relation to ethics, health and safety, intellectual property rights, consultancy and codes of practice for research, as detailed below:
  - Ethical Principles and Procedures for Teaching and Research, University Ethics Committee
  - Ethics Policy
  - Research Data Management Policy
  - Code of Practice for Research Degrees
  - Code of Practice on Handling Allegations of Research Misconduct
  - Faculty Handbooks on Research
  - Intellectual Property code (including patents)
  - University Health and Safety Policy
2.2 **Health and Safety**

All research must be carried out in a manner that complies with the Health and Safety at Work Act (1974) and the Safety Regulations approved under this Act. Faculty and/or Departmental Safety policies and handbooks will detail local safety rules which must be obeyed. Advice on health and safety issues can be obtained from either the Faculty/Departmental Safety Advisers or the University Safety Office.

2.3 **Purchasing and Expenditure for Research**

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. Advice on compliance with the Financial Regulations should be sought from the Director of Finance or the Head of Procurement and Contracts as appropriate.

2.4 **Professional Standards**

It is important that a culture of professionalism towards research is fostered and maintained in the University. At the heart of all research, regardless of discipline, is the need for researchers to adopt and promote in others high standards of personal conduct, and to be honest and ethical with regard to their own actions, and in their responses to the actions of other researchers. The adoption of a professional approach applies to the whole range of research work, including methodological and experimental design, the generation and analysis of data, the publication of results, and the appropriate acknowledgement of the direct and indirect contributions of colleagues, collaborators and others.

2.5 **Leadership**

The creation of a sound research climate is essential to good research practice. Within a research group, responsibility for creating such a climate lies with the group leader. Group leaders and other senior researchers should create a research environment of mutual co-operation, in which all researchers are encouraged to develop their skills and in which the open exchange of research ideas is fostered. They must also ensure that appropriate direction of research and supervision of researchers are provided.

2.6 **Data Collection and Retention**

i. Researchers must abide by the University's policies regarding intellectual property and the collation and retention of research data. This includes guidelines provided by the University's Information Compliance Unit.
ii. 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 it can be readily recovered. Methods for gathering, analysing, managing and retaining data should be considered at the early stages of project design.

iii. Research data must normally be retained intact for a period of at least ten years from the date of any publication which is based upon it. Researchers should be aware that specific professional bodies and research councils may require a longer period of data retention.

iv. 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 from time to time and to ensure that copyright, a third party’s intellectual property rights and confidentiality are not breached. Advice on compliance with the Data Protection Act should be sought from the University’s Information Compliance Officer who can be contacted by email on Freedomofinformation@surrey.ac.uk

v. Specific arrangements should be made to protect the security of research data where there is a contractual or ethical requirement to do so.

vi. 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 or confidentiality is required to protect intellectual property rights. Prior disclosure of the nature of research or the findings of research should not be made where this might invalidate any commercial property rights that could result. It is the obligation of the researcher to ascertain whether confidentiality provisions apply and of the Dean of Faculty to inform researchers of their obligations with respect to these provisions. Any issues that might arise relating to intellectual property should be referred to the Technology Transfer Office in Research and Enterprise Support.

2.7 Publications

i. Dissemination of knowledge is one of the objectives of the University.

ii. A publication must report research and research findings accurately.

iii. A publication must contain acknowledgement to all who have made a significant contribution to the relevant research, who are not authors.

iv. Any person who has participated in a substantial way in conceiving, executing or interpreting a significant part of the relevant research should be given the opportunity to be included as an author of a publication derived from that research.

v. Any person who has not participated in a substantial way in conceiving, executing or interpreting a significant part of the relevant research should not be included as an author of a publication derived from that research.

2.8 Conflicts of Interest

i. A researcher 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.
ii. Disclosure of a potential conflict of interest in research must be made to theDean of Faculty as soon as is reasonably possible, and also via the annual
completion of the Declaration of Interests Form.

2.9 Research Design

i. When designing research projects, researchers should ensure that:
   - the proposed project addresses pertinent questions and that the design
     of the study is appropriate for the question being asked;
   - the design and conduct of the study are set out in detail in a pre-
     specified research plan or protocol;
   - all the necessary skills, experience and other resources will be available
     to carry out the proposed research to the relevant standards;
   - any issues relating to the above are resolved as far as possible prior to
     the start of the research;

ii Researchers, and the University (where appropriate) should conduct a risk
assessment of the planned study to identify any ethical issues and legal
requirements. Potential risks to the University, the research or health, safety
and well being of the researchers and participants should also be identified at
this stage. Researchers should report any risks to their manager or other
appropriate person within the University, and take action to minimise them.

iii Where the design of a study has been approved by ethics, regulatory or peer
review, researchers should ensure any subsequent alterations to the design
are subject to appropriate review.

iv Research designs should be made available, when necessary, to peer
reviewers and journal editors when submitting research reports for
publications.

2.10 Submitting Proposals

In applications for funding, Principal Investigators should take all reasonable
measures to ensure accuracy of information and compliance with the
University's required procedures.

2.11 Peer Review

i. The University encourages researchers to act as peer reviewers for grant
applications, journals, other forms of publications and ethical reviews.

ii. Peer review should be carried out to the highest professional standards and in
accordance with the guidelines of the organisation for which the work is being
carried out. The confidentiality of materials being reviewed should be
maintained at all times. The reviewer should not retain, copy or disseminate
any material under review without the express permission of the organisation
which requested the review. The reviewer should not make use (or allow
others to make use) of the material under review without the express
permission of the author(s).
2.12 **Monitoring and Audit**

i. Research projects must comply with any monitoring and audit requirements. Projects should be monitored and audited to ensure that they are being carried out in accordance with good practice, legal and ethical requirements and any other guidelines.

ii. Any requirements for monitoring and audit should be considered and identified at an early stage of proposal development.

iii. Researchers must co-operate with any monitoring and audit undertaken by, or on behalf of, an applicable body. If staff become aware of a need to monitor or audit a project where none is planned, they should report the need to an appropriate person. Researchers should co-operate with the outcomes of any monitoring or audit of their research projects.

3 **Ethical and Legal Requirements**

3.1 Any special standards of work performance and ethical conduct imposed by law (UK or overseas), 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. In addition, compliance with the University Ethics Committee’s Ethical Guidelines for Teaching and Research and the guidelines of other appropriate external Ethical Committees is also essential.

3.2 Experimentation on animals is strictly controlled by the Home Office and can only be conducted by licensees in accordance with the Animals (Scientific Procedures) Act of 1986 Amendment Regulations 2012. Applicants for for project and personal licenses must be approved by the Dean and the Animal Welfare and Ethics Review Board and ultimately by the University’s Certificate Holder.

3.3 Work conducted for, or on behalf of the UK Departments of Health and/or the National Health Service must comply with the relevant guidelines issued by the Department of Health and any other professional recognised bodies, eg The Department of Health’s ‘Research Governance Framework for Health and Social Care’ and the National Research Ethics Service’s ‘Guidance for Applicants’. Clinical trials on medicinal products for human use must comply with the principles of Good Clinical (Research) Practice.

4 **Handling Allegations of Research Misconduct**

4.1 The University’s Code of Practice on Handling Allegations of Research Misconduct sets out the University’s policy and procedures in relation to misconduct in the context of academic research.
5 External Codes

In addition to its own Code, the University of Surrey requires those engaged in research in any area to be fully aware of and in compliance with the appropriate external protocols and statements governing research activity as they exist from time to time. The following list is indicative, but is not intended to be exhaustive:

1. Nolan Committee on Standards in Public Life;
2. Research Councils UK
3. Relevant documents and codes of the following Research Councils
   Medical Research Council
   Biotechnology & Biological Sciences Research Council
   Engineering & Physical Sciences Research Council
   Economic & Social Research Council
   Particle Physics & Astronomy Research Council
   Arts and Humanities Research Council;
5. Governance arrangements for NHS Research Ethics Committees (GafREC)
6. Concordat to Support the Career Development of Researchers;
7. UK Research Integrity Office
8. OECD Global Science Forum;
9. Department of Health
10. National Research Ethics Service;

ACKNOWLEDGEMENTS:
The Codes and Statements referred to in Section 5
University of Sussex: Code of Practice for Research
University of Kent at Canterbury: Good Practice and Misconduct in Academic Research: A Policy Document
Sheffield Hallam University: Research Ethics and Procedures
University of Glasgow: Code of Good Practice in Research
Imperial College of Science, Technology & Medicine
The British Psychological Society: Code of Conduct, Ethical Principles and Guidelines
Research Councils UK: RCUK Policy and Code of Conduct on the Governance of Research Conduct: INTEGRITY, CLARITY AND GOOD MANAGEMENT
UKRIO: Code of Practice for Research, Promoting good practice and preventing misconduct
UKRIO: Procedure for the Investigation of Misconduct in Research
OECD Global Science Forum: Investigating Research Misconduct allegations in International Collaborative Projects
Department of Health: Research Governance Framework for Health and Social Care’
National Research Ethics Service: ‘Guidance for Applicants’
The Animals (Scientific Procedures) Act 1986 Amendment Regulations 2012
Approved by Council: 19 July 2007
Amendments approved by Senate on 19 November 2009, 23 February 2010, 15 February 2011