



CODE OF PRACTICE FOR RESEARCH

Policy

This document should be read in conjunction with any other policies, procedures or guidance issued by Newman University (the University). Also, it should be considered in consultation with the Code of Practice for Research of the UK Research Integrity Office (UKRIO) as well as the Research Councils UK (RCUK) Policy and Code of Conduct on Governance of Good Research Conduct. This document shall be kept under review by the Research Ethics Committee.

1. Principles and application

- 1.1. Newman University expects all research carried out at the University or in its name to be conducted to the highest standards of integrity. This Code of Practice for Research provides a framework for the governance of all research throughout Newman University. It requires all those undertaking and/or contributing to research to adhere to the highest standards of performance and ethical conduct, and embed good practice in all aspects of their work. They must operate honestly and openly in respect of their own actions and in response to the actions of others involved in research.
- 1.2. Newman University requires all staff, emeritus professors, visiting staff and all registered students (whether undergraduate or postgraduate) involved in research to abide by this Code. Where any other individual who collaborates in research with staff and registered students is not bound by an equivalent Code through their employer or other organisation, the individual shall be expected to abide by this Code when working with Newman University unless otherwise agreed. References hereafter to 'research worker' include all staff, registered students and external research collaborators who are involved with research in connection with or as part of Newman University.
- 1.3. This Code is linked to and operates in conjunction with conditions of employment for the relevant staff groups and other related Newman University policies and procedures. Failure to abide by this Code may lead to the matter being considered under the University's disciplinary procedures.

- 1.4. This Code defines research misconduct in clause 10. Any alleged breach of this Code shall be handled in accordance with the appropriate University disciplinary procedures.
- 1.5. The Code and its implementation will be reviewed by the University's Research Ethics Committee on a regular basis in consultation as appropriate with relevant individuals or groups. The review will take into account changes and recommendations from external research funders, Acts of Parliament and other regulations. Where any proposed change to this Code would affect staff terms and conditions of service, Newman University will follow the appropriate normal procedures of consultation and/or negotiation.
- 1.6. All research workers undertaking or involved in research must familiarise themselves with this Code. Deans of School have a responsibility to seek to ensure compliance with the Code in their Schools. The University will draw attention to the Code in its induction processes for newly appointed staff and registered students. Supervisors of registered students will seek to ensure compliance with the Code on the part of students. The University will draw attention to relevant training and staff development workshops to ensure that all research workers are aware of best practice requirements.
- 1.7. Newman University recognises and protects the principle of academic freedom and this Code is not intended to restrict the academic freedom of staff. However, each member of staff is expected to exercise their academic freedom in a manner consistent with this Code.

2. Integrity and accountability

- 2.1. Everyone involved in research at Newman University owes a duty of accountability to the institution, to all participants in their research, and to their research funders commensurate with their involvement in that research. Individuals must accept responsibility for their own conduct of their part in any research and for providing direction for the activities of any staff or registered student under their supervision.
- 2.2. The primary researcher or principal investigator in any research should identify clear roles and accountabilities for all those involved in any research project, and should ensure that all involved are informed of their responsibilities. Areas of accountability include:
 - (i) the ethical basis of the research and the research design;
 - (ii) the safety of all involved in the research;
 - (iii) ensuring that research is conducted in a suitable working environment with appropriate equipment and facilities;
 - (iv) the probity of financial management of all projects and for seeking to provide the optimum value for the public or private funders who have invested in them;

- (v) effective project management to agreed project plans and appropriate quality standards, including timely delivery of any scheduled, tangible outcomes;
- (vi) management of research data in accordance with the Data Protection Act 1998 (DPA) and any other legal provisions, conditions and guidelines that may apply to the handling of personal information (see section 3 below);
- (vii) seeking to ensure timely and wide dissemination of research findings,
- (viii) undertaking professional development relevant to the research as appropriate and ensuring that all others involved in the research have received relevant training;
- (ix) maintaining personal records of research progress, including authorised laboratory books, to the recommended or required standards;
- (x) maintaining confidentiality in order to achieve protection of intellectual property rights where appropriate;
- (xi) ensuring research participants participate in a voluntary way, free from any coercion and are properly informed of any risks, the broad objectives and of the identity of any sponsors of the research;
- (xii) using all best endeavours to avoid unnecessary harm to participants, other people, animals and the natural environment, having taken due account of the foreseeable risks and potential benefits of the research;
- (xiii) being alert to the ways in which research derives from, and affects the work of others, and respecting the rights and reputation of others.

2.3. When peer reviewing research proposals or results (including manuscripts submitted for publication) research workers must protect the confidentiality of information provided and disclose any conflicts of interest and any areas of limited competence, and must not misuse or misappropriate the content of the material being reviewed.

2.4. Research workers must be honest and lawful in respect of their actions relating to research and in response to the actions of other research workers. This applies to the whole range of research activity, outputs and deliverables, including applying for funding, experimental design, generating and analysing data, publishing results and acknowledging the direct and indirect contribution of colleagues, collaborators and others.

2.5. Where a research worker has concerns about whether the obligations of accountability as set out in clause 2.2 can be met or is in doubt about the applicability of provisions of the Code to their part in any research, or about the appropriate course of action to be adopted in relation to it, advice should be sought from a member of the Research Ethics Committee. All responses from the Committee will be in writing and will be retained for future access as appropriate. A registered student who has any questions about this Code should in the first instance raise these with their immediate supervisor.

3. Research data

- 3.1 Research workers must keep clear and accurate records of the research procedures they followed and the results obtained, including interim results.
- 3.2 Research data must be recorded in a durable and auditable form, with appropriate references so that it can readily be recovered.
- 3.3 Unless already regulated by legislation or confidentiality agreements, or where there are valid ethical reasons for not doing so, primary research data and research evidence must be accessible in confidence to other authorised researchers for verification purposes for reasonable periods after completion of the research; data should normally be preserved and accessible for ten years, but for projects of clinical or major social, environmental or heritage importance for twenty years or longer. These periods are in accordance with the UK Research Councils' guidelines:
<https://www.jisc.ac.uk/guides/data-protection-and-research-data>
<http://www.rcuk.ac.uk/documents/reviews/grc/rcukpolicyandguidelinesongovernanceofgoodresearchpracticefebruary2013-pdf/>
- 3.4 Unless there are particular reasons, including any legal or regulatory requirements (including without limitation the requirements of a research ethics committee) for not doing so, data should be stored in their original form. Storage media such as tapes and disks should not be erased and/or reused, but should be stored securely.
- 3.5 It is the duty of the principal investigator in any research project to comply with the DPA. The DPA applies to all processing of personal data (which includes the obtaining, the processing and the storage of data). Compliance with European Data protection requirements is also applicable.
- 3.6 Some central issues for research workers in relation to personal data include:
 - (i) all staff and registered students using personal data in research have a duty of confidentiality to the individuals concerned;
 - (ii) unless there are ethically or legally justified reasons for doing otherwise, research workers must ensure that they have each study participant's explicit informed written consent to obtain, hold and use their personal data;
 - (iii) data security arrangements must be sufficient to prevent unauthorised breaches of confidentiality or unauthorised disclosure of personal data.
- 3.7 Newman University through its Schools is responsible for establishing appropriate procedures for security and retention of research data in a form which would enable retrieval by an authorised third party, subject to any limitation imposed by the confidentiality of personal data. Please see the University's [Data Protection Act guidance](#).
- 3.8 Specific arrangements should be made to protect the security of research data where there is a contractual requirement to do so.

- 3.9 Research data related to publications should be available for discussion with other research workers, except where confidentiality provisions prevail. Confidentiality provisions relating to publications may apply in circumstances where the University or the researcher has made or given confidentiality undertakings to third parties, including research subjects, or confidentiality is required to protect intellectual property rights. It is the duty of the principal investigator to familiarise themselves with any provisions of confidentiality relating to any particular research grant or contract and to inform research workers under their supervision of their duties with respect to these provisions.
- 3.10 The principal investigator should also ensure that third-party intellectual property rights are not breached.

4. Publications

- 4.1 Publication is the dissemination of the outcomes of scholarship and research not only in conventional paper form but also in other media, including electronic media. Newman University encourages its staff and registered students to disseminate the findings of their research through appropriate and timely publication. In this context publication may be taken to include, books, chapters, articles, conference proceedings, reviews, patents, catalogues, the production of creative arts, software and databases.
- 4.2 Ethical considerations apply to the production of all categories of publication and external communications, including websites, e-bulletins, press releases, media briefings or other events. Newman University expects research workers to abide by its core principles of openness, transparency and accountability and adopt appropriate ethical and professional standards and responsibilities in their publications as set out below.
- 4.3 Good practice requires that all Newman University staff include the details of their research outputs in the relevant University research publications databases according to the relevant procedures for recording that information. Staff and registered students should also help to ensure wide dissemination of their publications and therefore cooperate in requests from the University to include their outputs in a publicly accessible repository where appropriate. Information should be consulted on the University's [Open Access Policy and the procedures for making deposits to the CREST Repository](#).
- 4.4 There is a fundamental ethical obligation on authors to acknowledge and attribute external sources of information. Citation of sources should be carried out in accordance with the Harvard referencing system which has been adopted as standard by the University, or in accordance with the house style of the relevant publisher and/or the normal practices of the discipline concerned. Citation not only gives credit to the work of others, but also enables readers to identify elements in the text and therefore recognise the contribution of the author or authors in the context of previous work. Failure

to cite sources could, *inter alia*, constitute plagiarism and may be subject to disciplinary procedures.

- 4.5 Newman University cannot endorse citation arrangements which are contrary to academic conventions (such as citation clubs or the unnecessary use of self-citation). Membership of citation clubs may be regarded as misconduct as set out in clause 10.1.4(iii) or 10.1.4(iv).
- 4.6 It is in the interests of staff, registered students and the University that good practice in the matter of co-authorship is disseminated, understood and followed. New research workers should familiarise themselves with the principles of the Vancouver Protocol on authorship of articles in medical journals (see clause 4.8), the conventions of their particular discipline and any specific guidelines that may be issued by the University from time to time.
- 4.7 A publication must contain appropriate reference to the contributions made by all those who have made what might reasonably be regarded as a significant contribution to the relevant research. Any person who has materially contributed through conceiving, executing or interpreting at least part of the relevant research should be given the opportunity to be included as an author of a publication derived from that research. Accepting the status of co-author implies a full commitment to having one's name and reputation fully associated with the content of the publication.
- 4.8 In interpreting clause 4.7 above, researchers should, where appropriate, be guided by the Vancouver Protocol on determining authorship. The Vancouver Protocol can be found at www.icmje.org. However, no provision of the Protocol should be used as a reason for excluding from authorship any research worker who has contributed materially to the research.
- 4.9 Any person who has contributed to at least part of the relevant research, but who does not fulfil the criteria set out in clause 4.7 above on authorship should not be included as an author of a publication derived from that research, but their contribution should be acknowledged in accordance with clause 4.10.
- 4.10 There is a general ethical obligation that the contributory efforts of persons who have helped in the work being reported in a publication should be identified and acknowledged in it. It may, therefore, be appropriate to identify those who have assisted substantively in the work presented in a publication. This may include financial sponsors, colleagues within and outside Newman University who have given advice and any others who have facilitated the collection of material or data on which the publication is based or who have assisted in producing the publications. Those identified should be approached for permission if it is intended to acknowledge their assistance in the publication, and they should be offered the opportunity of seeing the publication.

- 4.11 A publication which is substantially similar to other publications derived from the same research must contain an appropriate reference to the other publications. A researcher must disclose to a publisher at the time of submission (a) substantially similar work which is being submitted to another publisher at the same time or (b) work which has been previously published.
- 4.12 Authors should be aware that in contract and collaborative research it may be necessary to seek permission for publication from all parties to the contract in advance of submission of the work to a publisher.

5. Intellectual property, copyright, and responsibilities of research workers who leave Newman University

- 5.1 Unless intellectual property is assigned to a research sponsor or funder as a condition of grant or contract, intellectual property and any intellectual property rights therein developed during research by staff in the course of their employment belongs to Newman University.
- 5.2 Newman University does not in practice assert its ownership of the copyright in respect of material such as books, journal articles, and work of arts. However, the University retains its right to use and reproduce such materials for internal educational purposes whilst recognising the author's moral rights.
- 5.3 Research workers are required to familiarise themselves with and to abide by the terms relating to intellectual property and confidentiality in any grant, contract or collaboration agreement relating to their research projects. Breaches of confidentiality relating to externally funded or collaborative research projects may result in actions for recovery of losses from a sponsor against Newman University and the individual concerned.
- 5.4 Research workers who leave Newman University are reminded that intellectual property developed during their employment, which is owned by the university or any research funder to whom such intellectual property has been assigned in accordance with the relevant contract, remains the property of that organisation and may not be divulged to third parties without permission from the owner of the Intellectual Property unless it is already in the public domain. The following clauses apply to ongoing research that is not transferred to another member of staff prior to a research worker's departure from the university:
 - 5.4.1 Institutional research ethics approval and support for the research will cease.
 - 5.4.2 Research workers are expected to inform the research office and relevant Dean of School of any ongoing research, and to notify research funders, third parties, co-researchers and participants. In the event of a sudden departure from the University, this may be communicated through Human Resources.

- 5.4.3 Research workers are required to debrief participants, and to ensure that data are disposed of or deleted, or securely stored as appropriate and in accordance with the approved research ethics application. Furthermore, online questionnaires (either hosted by or associated with Newman University) should be closed.
- 5.5 All reports issued by research workers should bear an appropriate assertion of copyright.
- 5.6 Research workers should try to anticipate any issues that might arise relating to intellectual property at the earliest opportunity and agree jointly in advance how they might be addressed, communicating any decisions to all members of the research team.

6. Conflicts of interest

- 6.1 Research workers in the exercise of their functions should not be constrained to reach any particular conclusion or to make any particular recommendations. However, in some situations a research worker may find themselves in a position where there is an actual or potential conflict of interest. Such a situation needs to be recognised and the research worker will need to make an appropriate disclosure.
- 6.2 A disclosure of a personal potential or actual conflict of interest in research must be made to the University (through the Dean of School or Research Office) as soon as is reasonably practicable and in accordance with any guidance issued from time to time. Failure to declare known conflicts of interest may be deemed misconduct.
- 6.3 A member of staff must comply with a direction made by the University in relation to a personal conflict of interest in research. The research worker will have the right of appeal if they consider the direction is unlawful, unreasonable or impracticable. The University's [Public Interest Disclosure Procedure \('Whistle Blowing Procedure'\)](#) can also be consulted.

7. Ethical review

- 7.1 Newman University requires that all staff and registered students' research projects undergo an ethical self-assessment and, where further scrutiny is required, an ethical review by the University's Research Ethics Committee or, when required, the NHS). Where required by law (such as the Human Tissue Act) or where the research involves the NHS (e.g. patients, patient data, patient records or patient tissue, or where the research involves adults without the mental capacity to give informed consent or any aspect of the NHS), confirmation should be sought from the relevant NHS body as to how the research needs to be reviewed by a National Research Ethics Service (NRES; now part of the Health Research Authority) research ethics committee.

- 7.2 Responsibility for ensuring the proper ethical review lies with the principal investigator. In the case of postgraduate registered students, the academic supervisor of the research is responsible for ensuring that the postgraduate researcher obtains ethical review for their project.
- 7.3 Failure to obtain appropriate ethical approval will be deemed a breach of this Code. No research project may be conducted unless and until the project has been granted ethical approval by the Research Ethics Committee.
- 7.4 [Advice on procedures](#) for obtaining Research Ethics Committee and NHS governance approvals or requirements may be obtained from the Research Ethics Committee.

8. Additional requirements

- 8.1 In the case of work involving animals, there is a general requirement for research workers to demonstrate that they have considered seriously the use of alternative methods of research before the use of animals is proposed, and that the likely impacts on animals have been weighed against the improvement in knowledge and understanding of the living world. The named veterinary surgeon has an explicit duty to advise research workers about welfare issues in relation to the use of animals for research purposes.
- 8.2 Research workers should familiarise themselves with the terms of any funding agreement (grant or contract) related to their work, and ensure that any research undertaken is consistent with those terms and conditions.
- 8.3 Research workers must report to the University any events which result in unforeseen financial consequences or which could be damaging to the good name and reputation of the University.
- 8.4 As appropriate, health and safety risk assessments should be carried out for all research work. Any procedures which may present a hazard to the researcher, participants, or to the public should be discussed with the University's Health and Safety Officer.

9. Adverse events

- 9.1 Research workers have a duty to monitor and report any adverse events occurring in the course of the research and have systems in place to ensure that all such adverse events are recorded and, if appropriate, investigated. In this context, an adverse event is an event which results in harm to the researcher, the research participants, or the environment.
- 9.2 Accidents, incidents and 'near misses' occurring during the course of research should be reported to the University's Health and Safety Officer in accordance with the University's Health and Safety Policy.

9.3 Researchers should be aware that there may be a legal or regulatory requirement for them to report adverse events directly to external bodies, such as NRES committees.

10. Misconduct

10.1 Misconduct in research is a failure to comply with the provisions of this Code and, without limiting the generality of the foregoing provisions, is taken to include:

10.1.1 Fabrication, including the creation of false data or other aspects of research including research documentation such as regulatory or internal approvals or participant consents.

10.1.2 Falsification, including

- (i) falsification and/or inappropriate manipulation and/or selection of consents;
- (ii) falsification and/or inappropriate manipulation and/or selection of data/imagery with the intention to deceive.

10.1.3 Plagiarism, including

- (i) the wrongful appropriation or purloining and publication as one's own, of the thoughts, ideas or the expression of ideas of another;
- (ii) the deliberate exploitation of the ideas, work or research data of others without proper acknowledgement.

10.1.4 Misrepresentation, including

- (i) falsely or unfairly presenting the ideas or the work of others as one's own, whether or not for personal gain or enhancement, including both by deliberate misstatement or as a result of negligent or inadequate reference;
- (ii) misrepresentation of data for example suppression of relevant findings with intention to deceive and/or data or knowingly, recklessly or by gross negligence presenting a flawed interpretation of data;
- (iii) misleading ascription of authorship to a publication;
- (iv) undisclosed duplication of publication, including undisclosed simultaneous duplicate submission of manuscripts for publication;
- (v) deliberately attempting to deceive when making a research proposal;
- (vi) misrepresentation of skills, qualifications and/or experience, including claiming or implying skills, qualifications or experience which are not held;
- (vii) misrepresentation of interests, including failure to declare material interests either of the researcher or of the funders of the research.

10.1.5 Mismanagement of data and/or primary materials, including failure by those identified under clause 2.2 as having relevant roles and responsibilities to

- (i) keep clear and accurate records of the research procedures followed and the results obtained, including interim reports;
- (ii) hold records securely in paper or electronic form;
- (iii) make relevant primary data and research evidence accessible to others for a reasonable period after the completion of research;
- (iv) manage data according to any data policy of a research funder and all relevant legislation.

10.1.6 Breach of any relevant duty of care, which may involve recklessly or through gross negligence

- (i) failing to follow procedures and health and safety protocols which are designed to prevent unreasonable risk or harm to humans, animals or the environment;
- (ii) breaching the confidentiality of individuals or groups involved in research whether research workers or research subjects without their consent, including, for example, improper disclosure of the identity of individuals or groups;
- (iii) placing any of those involved in research in physical danger, whether as researchers, research subjects, participants, or associated individuals, without their prior consent, and without appropriate safeguards where informed consent is given;
- (iv) not taking all reasonable care to ensure that the risks and dangers, the broad objectives, and the sponsors and funders of research are made known to participants or their legal representatives in order to ensure that appropriate informed consent is obtained properly, explicitly and transparently;
- (v) failing to obtain appropriate informed consent, unless there are valid reasons for not doing so, and that permission to conduct research without appropriate informed consent has been obtained from the University or the relevant external research ethics committee;
- (vi) failing to obtain appropriate ethical approval to conduct research;
- (vii) unethical behaviour in the conduct of research including failing to comply with any requirements or stipulations contained in ethical or regulatory consent;
- (viii) failing to meet relevant legal or ethical requirements and to follow any protocols set out in the guidelines of appropriate, recognised professional, academic, scientific and governmental bodies;
- (ix) unauthorised use of information acquired confidentially.

10.1.7 General misconduct, including

- (i) the misuse of research findings;
- (ii) failure to declare an actual or potential conflict of interest which may significantly compromise, or appear to significantly compromise, the research integrity of the individual concerned and the accuracy of any research findings or bring the University into disrepute;
- (iii) inciting others to commit research misconduct;
- (iv) failure to declare (where known) that a collaborative partner has been found to have committed research misconduct in the past or is

currently being investigated following an allegation of research misconduct. Such declarations should be made to the Dean of School and to the Chair of the University Research Ethics Committee;

- (v) facilitating misconduct in research by collusion in, or concealment of, such action;
- (vi) submitting an accusation of research misconduct based on vexatious or malicious motives;
- (vii) breach of University or externally contracted confidentiality, except where part of genuine whistle-blowing actions in accordance with the Public Interest Disclosure Act 1998;
- (viii) fraud, including financial fraud;
- (ix) any misconduct which would normally be regarded as a disciplinary matter if conducted on University premises, which is committed whilst working on a collaborating institution's premises or other off-campus facility or research site, whilst conducting a Newman University or collaborative research project, secondment, or industrial placement.

10.2 Researchers have a duty to report any breach of this Code where they have good reason to believe it is occurring, to the Dean of School, PVC Research & Scholarship or some other person in authority. Research workers who are found to have committed misconduct in research will be subject to the disciplinary proceedings of Newman University; and that where researchers are members of a regulated profession, cases of serious misconduct in research will be referred to the relevant professional organisation. Conversely, research workers who are found not to have committed misconduct will be supported and appropriate steps taken to restore their reputation where this may have been damaged.

10.3 Allegations of misconduct in research are investigated thoroughly and fairly and in timely manner. Such investigation would follow the procedure outline by UKRIO in conjunction with the University's disciplinary procedures.

<http://ukrio.org/publications/misconduct-investigation-procedure/>

10.4 Newman University considers an accusation of research misconduct to be within its remit and suitable for consideration according to its relevant disciplinary procedures if it

- (i) concerns a member of staff, honorary staff, emeritus staff or registered student; or a visiting researcher under the supervision of a member of staff;
- (ii) involves a current member of staff or honorary staff, whether or not it is alleged to have occurred at a location external to the University.

10.5 Where possible, Newman University will follow an investigation through to completion even in the event that the individual(s) concerned has left or leaves its jurisdiction, either before the accusation was made or before an investigation is concluded.

- 10.6 An allegation of research misconduct is a serious and potentially defamatory action and could lead to a threat (or even the instigation) of legal proceedings. Consequently for the protection of the complainant and of the party against whom the allegations are made, all enquiries (including the formal investigation, if any) should be conducted on a basis of confidentiality within the process (wherever possible) as well as of integrity and non-detriment so that neither party should suffer solely as a consequence of the allegation being made in good faith.
- 10.7 Following the completion of an investigation and should research misconduct be found, Newman University may consider additional measures. Such additional measures might include (but are not limited to):
- (i) retraction/correction of articles in journals or other published material;
 - (ii) withdrawal/repayment of funding;
 - (iii) notification of misconduct to regulatory bodies;
 - (iv) notification of other employing institutions/organisations;
 - (v) notification of other organisations involved in the research including the funders of the research;
 - (vi) review of internal management and/or training and/or supervisory arrangements;
 - (vii) making any public statement necessary to mitigate the potential for damage to the reputation of Newman University.
- 10.8 The Research Councils UK (RCUK) Policy and Guidelines on Governance of Good Research Conduct* require that RCUK be notified at the commencement of into an allegation of unacceptable research conduct arising from one of their funded projects. Where serious misconduct is found to have occurred, especially where this would appear to have been premeditated a report to relevant statutory or regulatory bodies may be required.
- *<http://www.rcuk.ac.uk/documents/reviews/grc/rcukpolicyandguidelinesongovernanceofgoodresearchpracticefebruary2013-pdf/>
- 10.9 Newman University retains the right to report proven allegations of serious research misconduct against its staff, honorary staff, former staff and registered students, to potential new and subsequent employers. Where employees or students of another institution involved in a collaborative project with Newman University are implicated in serious research misconduct, then the University shall notify the home institution of those individuals involved.
- 10.10 The identity of any individual reporting research misconduct where it is genuinely suspected will be kept confidential wherever practicable. However, it may be necessary to reveal the identity of the individual reporting misconduct if this is deemed legally necessary to allow the person accused of misconduct to conduct their defence.
- 10.11 There should always be an opportunity for response by a complainant if the allegation is not accepted and if they believe that they have been misunderstood or key evidence overlooked.

10.12 Where there is *prima facie* evidence that an allegation of research misconduct is founded on vexatious or malicious intent, that allegation may be considered as a disciplinary matter.

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