



UNIVERSITY_{OF}
WINCHESTER

Research Code of Practice

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Indicate whether the document is for public access or internal access only. Indicate whether the document applies to collaborative provision? <i>(Strikethrough text, as appropriate)</i>	Public Access Internal Access Only Applies to Collaborative Provision
Summary: <p>The University of Winchester has a responsibility to ensure that research carried out by its staff, researchers and students, or by others in its name, is conducted in accordance with the law, its own articulated values and procedures, and in accordance with the best current practice and principles. The University expects its staff and students to maintain integrity and high ethical standards in the conduct of research and to ensure validity and accuracy in the collection and reporting of funding, regardless of how the activity is funded.</p> <p>This Code of Practice builds upon and is fully in accord with the UK Research Integrity Office <i>Code of Practice for Research (2023)</i>.</p>	

RESEARCH CODE OF PRACTICE

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1. INTRODUCTION

The University of Winchester (henceforth referred to as 'University') is committed to creating an environment that promotes the highest standards of professionalism and integrity in the conduct of research. It has a responsibility to ensure that research carried out by its staff and students, or others in its name, is conducted in accordance with the law, its own articulated values and procedures, and is aligned with the principles of good practice and current guidance for the research sector nationally and internationally. The University expects its staff and students to maintain integrity and high ethical standards in the conduct of research and to ensure validity and accuracy in the collection and reporting of funding, regardless of how the activity is funded.

This *Code of Practice* ('the Code') builds upon and is in accord with the UK Research Integrity Office *Code of Practice for Research* (2023). It is also informed by a number of sources providing guidance on good practice in the research sector in the UK and internationally. These are listed at the end of this document.

The University recognises and protects the principle of academic freedom in its ordinances and the 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 the Code.

2. SCOPE

The University requires all staff, students and affiliates of the University involved in research undertaken at the University to adhere to the Code. Individuals may also be expected to adhere to other applicable standards and legislation in their undertaking of research, dependent on the nature of the research.

3. PURPOSE

This Code outlines the principles of good practice underpinning the University's commitment to research integrity (including research ethics) and effective research governance. It provides guidance applicable to research across all subject disciplines and areas of study in the University. It requires all those undertaking or contributing to research to maintain the highest standards of ethical conduct and to embed good practice in all aspects of their work. In doing so it promotes the production of the highest quality research and a healthy and positive research culture. It facilitates the building of strong partnerships and sustainable collaborations with external organisations in order to contribute to the improvement of wider society.

4. PRINCIPLES OF GOOD PRACTICE IN RESEARCH

It is the responsibility of all individuals engaged in research to abide by the following principles:

4.1 Integrity

Researchers should operate honestly and openly in respect of their own actions in research activity and in their responses to the actions of other researchers and of others involved in research. The direct and indirect contributions of colleagues, collaborators, research participants and others should always be acknowledged. Researchers are accountable to society, their professions, the University and to other sponsors of the research. Researchers are expected to understand and apply the following principles:

- (a) Note and comply with all ethical, regulatory and legal requirements in the UK and in countries where research is conducted or participants are from, relevant to the field of study and any collaborative arrangements with partner organisations.
- (b) Maintain awareness of the relevant and up-to-date University policies and procedures and accessing support and guidance as required.
- (c) Ensure research has been appropriately reviewed and any necessary funding and regulatory approvals, internal and external, have been obtained.
- (d) Plagiarism, deception, or the fabrication or falsification of results are regarded as serious disciplinary offences.
- (e) Report cases of suspected misconduct (as outlined in section 6), and to do so in a responsible and appropriate manner using the relevant University *Complaints Policy* ([Public Complaints Policy \(sharepoint.com\)](#); [Student Complaints Policy \(sharepoint.com\)](#) grievance and disciplinary procedures.
- (f) Recognise and declare any conflicts of interest (actual, potential or perceived) relating to research and seek advice and/or take steps to resolve them.
- (g) Abide by the University's *Research Ethics Policy* ([RKE Ethics Policy and Procedures \(sharepoint.com\)](#)). Research should never be undertaken without either ethics release or ethical approval being granted.
- (h) Those named as principal investigators or grant-holders must ensure that: the research they are undertaking is consistent with the terms and conditions defined by the sponsoring organisation, unless amendments have been agreed in writing; that finance is used solely for the purpose for which it was intended; that reports are accurate and timely; and that conditions relating to publication and to ownership of Intellectual Property are followed.
- (i) Ensure that research projects are appropriately managed by researchers with the relevant training and experience required to undertake their duties.

4.2 Transparency

The University encourages researchers to be as open as possible in discussing their work with other researchers and with the public, and to engage critically with the practical, ethical and intellectual challenges that are inherent in the conduct of high

quality research. The aim of disseminating research is to increase knowledge and understanding.

- (a) Researchers should ensure that research designs, methodologies, data and findings are open to scrutiny (subject to appropriate confidentiality applicable to personal or commercially protected data).
- (b) Researchers should endeavour to disseminate and make publicly available all results of research, relevant data and materials through publication or other means, provided that this is consistent with any ethical approvals and consents that cover the data and materials, and any intellectual property rights in them.
- (c) Throughout their work, researchers are required to keep clear and accurate records of the procedures followed and the results obtained, including interim results. This is necessary not only as a means of demonstrating proper research practice, but also in case questions are subsequently asked either about the conduct of the research or the results obtained.
- (d) Researchers should ensure the accuracy, security, accessibility and completeness of data and results, and appropriately acknowledge the contributions of others.
- (e) Research data and results should be retained and deleted/destroyed in accordance with all legal, ethical, funding body and University requirements.
- (f) In cases where transcripts of interviews form the basis of the research, these should be kept as confidential according to *Data Protection Act* procedures (<https://www.gov.uk/data-protections>), and according to any other professional protocols.¹

4.3 Collaboration

Researchers should:

- (a) Work with colleagues, participants and partner organisations in a collaborative manner, to develop ideas, opportunities for professional development and cross-team working.
- (b) Participate in and promote the open exchange of ideas, research methods, data and results, and their discussion and scrutiny (subject to considerations of confidentiality where applicable and the research interests of the University).
- (c) Work collaboratively to facilitate the wider benefits and impact of research.

4.4 Legal and Compliance Considerations

Researchers must:

- (a) Comply with the *Data Protection Act* (2018) (<https://www.gov.uk/data-protection>), the University's *Data Protection Policy* ([Data Protection Policy \(sharepoint.com\)](#)) and

¹ The DPA 2018 and GDPR include specific exemptions for the processing of personal data that is necessary for archiving, scientific or historical research or statistical purposes. For further information, see paragraph 620 of the Explanatory Notes to the DPA 2018

with the appropriate codes of practice issued by their professional association, as appropriate. They must also comply with the University's *Health and Safety Policy* ([Health and Safety Policy \(sharepoint.com\)](#)).

- (b) Ensure that any research undertaken complies with any agreements, terms and conditions relating to the project, and allows for proper governance and transparency. This should include ensuring there are fully auditable records of, for example, timesheets, participants' consent, where required, all relevant approvals, amendments to the study design or documentation, and access to and understanding of any associated legal agreements, grant terms and conditions.
- (c) Follow the requirements and guidance of any professional bodies in their field of research and those who are members of a regulated profession must follow the requirements and guidance of the body regulating their profession.

Review of the Code will take into account changes and recommendations from external research funders, Acts of Parliament and other regulations.

5. INSTITUTIONAL RESPONSIBILITY AND SUPPORT

5.1 Leadership

Within the University it is the responsibility of the Pro Vice Chancellor and the Director of Research and Innovation (R&I), with support from the R&I Directorate, to ensure that an environment is created that allows research to be conducted in accordance with good research practice. This includes ensuring that all staff and postgraduate research students are made familiar with this Code at Induction and, for postgraduate research students, as part of the Postgraduate Certificate in Research Skills. Within a Research Centre responsibility lies with the Convenor to ensure that Centre members are aware of the Code. REF Unit of Assessment Leads should ensure that members of their Unit of Assessment are familiar with the Code. Staff with responsibility for research leadership and management are expected to foster a research environment of mutual co-operation in which all researchers are encouraged to develop their skills and in which the open exchange of ideas is celebrated.

Staff with research leadership roles, in liaison with Heads of Departments, Deans and R&I, must ensure fairness in the allocation of time and resources among staff. They must also ensure, in liaison with R&I, that appropriate direction of research and support for new researchers is provided and, in liaison with the Doctoral School, that appropriate supervision of research students is provided, in accordance with the relevant academic regulations. When in doubt about good research practice, researchers in Faculties should seek the advice of, as appropriate, the relevant REF Unit of Assessment Lead, Chair of the Ethics Committee or Head of Research Environment and Impact. Professional services staff intending to undertake research or evaluation should seek advice from the Chair of the Ethics Committee, to determine the appropriate route for ethics review for the project.

5.2 Training and Development

The University provides ongoing training and opportunities for the development of researchers at all levels of their professional development through the R&I Academy, Staff Development, the Supervisor Development Programme and, in addition for

research students, Research Training Opportunities and the Postgraduate Certificate in Research skills. This provision, together with targeted ongoing training in specific areas, such as ethics and research integrity, enables researchers to understand and adopt best practice in research and to conduct research to the appropriate standards.

Researchers should ensure that they have the necessary skills and training to conduct research as an individual, in a research team or through collaboration. They should identify and undertake appropriate training and development and utilise relevant resources appropriate to their role, which may be within a team or through collaboration with specialists in relevant fields.

6. PRINCIPLES AND PROCEDURES FOR HANDLING ALLEGATIONS OF RESEARCH MISCONDUCT

6.1 Introduction

The University has a responsibility to ensure that research and evaluation carried out by its staff, researchers and students, or by others in its name, is conducted in accordance with the law, and aligned with best practice and integrity principles. All staff, researchers and students of the University have a responsibility to report any suspected case of research misconduct. Failure to comply with the Code, or any actions that may be deemed to constitute research misconduct, may be grounds for instigating disciplinary proceedings under the relevant University *Complaints Policy* and procedures ([Public Complaints Policy \(sharepoint.com\)](#) [Student Complaints Policy \(sharepoint.com\)](#)).

6.2 Definition of Research Misconduct

Research misconduct is understood to include, but is not limited to, engaging in or attempting to engage in, or planning, fabrication, falsification, plagiarism or deception in proposing, carrying out or reporting results of research and deliberate, dangerous or negligent deviations from accepted practice and/or University policies in carrying out research. This includes misconduct in relation to adhering to ethics procedures at any stage of a project. Research misconduct does *not* include honest error, or honest differences in the design, execution, interpretation, or judgment in evaluating data or research methods. Similarly, it does not include weak or poorly designed research unless this encompasses the intention to deceive.

6.3 Handling Allegations of Research Misconduct

The University takes all allegations of misconduct relating to ethics in research and evaluation, by both staff and students, seriously. The University handles such allegations using appropriate existing policies and disciplinary procedures, as stated in 6.1 above. Concerns about the conduct of research carried out under the auspices of the University should be made in the first instance in writing to the Director of R&I. This information is given in the policy ([RKE Ethics Policy and Procedures \(sharepoint.com\)](#)) and on the externally facing website. The named point of contact to act as confidential liaison for whistle-blowers or any person wishing to raise concerns about the ethics of research practice is the Chair of the University Research Ethics Committee.

The Director of R&I will then liaise with the Chair of Ethics Committee and the relevant Dean of Faculty, as appropriate, in recommending further action which may invoke the relevant University *Complaints Policy* and procedures ([Public Complaints Policy \(sharepoint.com\)](#) [Student Complaints Policy \(sharepoint.com\)](#)). Where significant

concerns have been raised about the ethical conduct of a study, the Ethics Committee can request a full and detailed account of the research for further ethical review. Where the Committee considers that a study is being conducted in a way which is not in accord with the conditions of its original approval, consideration will be given to approval withdrawal and require that the research be suspended or discontinued. It is the duty of the Chair of Ethics Committee to inform the Director of R&I in writing and the appropriate funding body (if an externally funded project) that ethics approval has been withdrawn.

7. TRUSTED RESEARCH: FUNDING FROM EXTERNAL SOURCES

The University encourages and supports its staff to seek external funding for their research activities. It accepts funding from a diverse range of legal sources, in accordance with its financial regulations and values. All applications, proposals, contracts, and awards related to external research funding are made and accepted on behalf of the University. However, it is important to consider ethical and reputational issues when applying for or accepting funding from certain sources. The Dean or delegated person reviews the proposal via the PURE approval process to ensure that the interests of all staff and the reputation of the University are protected.

The [National Protective Security Authority | NPSA](#) provides guidance on due diligence for international research collaborators and partners, which is recommended for academics seeking funding with partners outside the UK.

While the guidance does not provide an exhaustive list of acceptable sources of funding, certain circumstances may raise concerns and require further advice from the R&I Directorate, which may then be referred to the Director of R&I or the relevant Pro-Vice Chancellor. These circumstances include, but are not limited to, the following:

- (a) Where a third party is involved, and the original source of the funding is unknown or cannot be identified.
- (b) Where a funding organisation wishes to place inappropriate restrictions on publication and exploitation of research which may lead to substantial ethical difficulties.
- (c) Where a funding organisation is attempting to exert pressure to suppress or alter the results of the research which do not further, or may damage, its interests, commercial or otherwise.
- (d) Where a member of staff may have an interest in a funding organisation (a conflict of interest).
- (e) Where accepting funds from one source may compromise the ability of the University to apply for or accept funds from another source.
- (f) Where the practices of a potential sponsor or their motives in commissioning the research may conflict with the mission, aims and objectives of the University.
- (g) Where the ethical and political implications of undertaking research or accepting research funding from a particular source could result in negative publicity and/or may seriously damage the reputation of the University.
- (h) A funding organisation whose historical activities or values contravene the University's current values; particularly those without documented plans to address any issues (this includes, but is not limited to, racism, sexism, disabilities or sexual preference).

- (i) Where the conduct of research may harm or place at undue risk members of the public, participants or staff.

Further advice and guidance on any ethical considerations relating to the application for or acceptance of external funding for research activities should be referred to the R&I Directorate via the Head of External Funding in the first instance, for further investigation and recommendation; depending on the circumstances and risk level, this may then be referred to the Director of R&I or the relevant Pro-Vice Chancellor.

8. MONITORING AND REPORTING

The University submits a Research Integrity Statement annually to the UK Research Integrity Office. The statement reports on the actions and activities taken to promote high standards of research integrity and a positive research culture, includes a statement on the processes that the University has in place for dealing with allegations of misconduct, and details future plans.

The UKRIO Code of Practice for Research includes a [one-page recommended checklist for researchers](#). This is a non-technical checklist which summarises the key points of good practice in research, based upon the more detailed standards provided in the Code. The benchmarks in the Code provide a useful reference point to assist the University in fulfilling the requirements of regulatory, funding and other relevant bodies.

9. REVIEW OF CODE

The Director of R&I is responsible for guiding the development and updating of this Code. The Code and its implementation will be periodically reviewed by R&I in consultation with relevant internal stakeholders, as appropriate, and is approved by Senate R&I Committee. Review of the Code will take into account policy updates and recommendations from external stakeholders pertaining to good practice in research.

10. LINKS TO OTHER KEY DOCUMENTS

10.1 External Guidance

UKRI's Policy and Guidelines on governance of good research conduct:

[Our policy and guidelines for good research conduct – UKRI](#)

Universities UK Concordat to Support Research Integrity:

[The Concordat to Support Research Integrity \(universitiesuk.ac.uk\)](http://universitiesuk.ac.uk/concordat)

The UK Research Integrity Office Code of Practice for Research: Promoting Good Practice and Preventing Misconduct:

[Code of Practice for Research - UK Research Integrity Office \(ukrio.org\)](https://www.ukrio.org/code-of-practice)

UK Research Integrity Office *Recommended Checklist for Researchers*:

<http://www.ukrio.org/wp-content/uploads/UKRIO-Recommended-Checklist-for-Researchers.pdf>

The European Science Foundation's European Code of Conduct for Research Integrity:

[European Science Foundation's European Code of Conduct for Research Integrity](#)

Vitae's Concordat to Support the Career Development of Researchers:

[Concordat to Support the Career Development of Researchers – Vitae Website](#)

Guidance on Good Clinical Practice for Clinical Trials:

[Good clinical practice for clinical trials - GOV.UK \(www.gov.uk\)](#)

The InterAcademy Partnership's Guide to Responsible Research Conduct:

[IAP's Doing Global Science: a simple guide to responsible research conduct \(interacademies.org\)](#)

The Frascati Manual 2015: Guidelines for Collecting and Reporting Data on Research and Experimental Development:

[Frascati Manual 2015: Guidelines for Collecting and Reporting Data on Research and Experimental Development | en | OECD](#)

The Data Protection Act:

<https://www.gov.uk/data-protection>

Guidance on the Seven Principles of Public Life:

[The Seven Principles of Public Life - GOV.UK \(www.gov.uk\)](#)

The National Protective Security Authority:

[National Protective Security Authority | NPSA](#)

The Declaration on Research Assessment:

[Home | DORA \(sfdora.org\)](#)

The Coalition for Advancing Research Assessment:

[CoARA - Coalition for Advancing Research Assessment](#)

10.2 University Policies

This policy will operate in conjunction with other University policies, listed below, which can be accessed at: [Policies and Regulations - University of Winchester](#)

Academic Regulations for Postgraduate Research Programmes

[Academic Regulations for Postgraduate Research Programmes \(sharepoint.com\)](#)

Data Protection Policy

[Data Protection Policy \(sharepoint.com\)](#)

Due Diligence for Third Party Funders and Partners

[RKE_External_Research_Funding_Due_Diligence_policy_draft_August_2023.docx](#)

Health and Safety Policy

[Health and Safety Policy \(sharepoint.com\)](#)

Intellectual Property Policy

[Intellectual Property Policy \(sharepoint.com\)](#)

Open Access Policy

[Open Access Policy \(sharepoint.com\)](#)

Public Complaints Policy

[Public Complaints Policy \(sharepoint.com\)](#)

Research and Innovation Strategy

[Research and Innovation Strategy 202328 6-6-23.pdf \(sharepoint.com\)](#)

Research Data and Records Management Policy

[Research Data and Records Management Policy \(winchester.ac.uk\)](#)

Research Ethics Policy and Procedures

[RKE Ethics Policy and Procedures \(sharepoint.com\)](#)

Staff Disciplinary Procedures

[Document Store - Staff Disciplinary Procedures - All Documents \(sharepoint.com\)](#)

Student Complaints Policy

[Student Complaints Policy \(sharepoint.com\)](#)

Student Academic Integrity Procedures

[Student Academic Integrity Procedures \(sharepoint.com\)](#)