CITY UNIVERSITY LONDON

Framework for Good Practice in Research

> *"Most people say that it is the intellect which makes a great scientist. They are wrong: it is character."*
> Albert Einstein

SUMMARY OF CONTENTS

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Framework for Good Practice in Research

1. Introduction

As part of its strategy, the University aims to create and disseminate knowledge and insight that adds value to our role as the university for business and the professions' and to support high quality research. The Framework for Good Practice in Research is designed to support these aims by defining the University's expectations of its staff and students who are involved in carrying out or supporting research activity and to assist in creating and sustaining an environment of good research practice.

It is important that the University has in place safeguards to protect the quality of research carried out by its staff and students from initial conception through to publication and other forms of dissemination into society and that the highest professional standards are maintained throughout.

Following the University's review of the institutional value of research and knowledge transfer undertaken during 2008/09, an all-inclusive definition of research has been introduced which covers basic and applied research, policy- and practice-focused research, knowledge and technology transfer, entrepreneurship and consultancy. References to research in this Framework should be considered as embracing all these activities as appropriate.

Research Councils and other funding bodies will take seriously any instances of misconduct. It is a standard expectation of funders that universities will have in place an explicit policy for preventing, and where necessary taking action upon, any misconduct. The University will apply its procedures to any allegation whether or not the research has been funded by an external source, and will also comply with any reporting requirements of funding bodies where serious misconduct is found to have occurred, following due investigation, in the course of externally-funded research.

This document is a broad framework providing general guidance on good practice in research. It draws upon a number of externally-produced documents relating to integrity in research practice, in particular the Research Councils UK Policy and Code of Conduct on the Governance of Good Research Conduct, and the UK Research Integrity Office (UKRIO) Code of Practice for Research. Some elements of this framework document are taken directly from these two Codes. The UKRIO Code also includes a useful checklist of key points of good practice in research to consider in relation to research in any subject area. Links to these and other relevant documents and policies can be found on the main research integrity page.

The University recognises that its staff and students are engaged in a diverse range of research activities and that additional guidance will be required for specific areas (e.g. clinically-based research). Staff and students should also ensure that they take full account of any professional and regulatory guidelines relevant to their specific discipline to complement this generic framework.

The Framework for Good Practice in Research is designed to be consistent with other University policies and procedures and the University's Statutes and is published on the University's website.

2. Aims of the document

The aims of the University's Framework for Good Practice in Research are:

- to establish and promote a code of good practice in the conduct of all aspects of research whether this be funded, non-funded, team- or project-based or individually led

- to encourage members of the University to maintain the highest achievable standards in their research conduct

- to ensure that the quality of research conducted by members of the University is safeguarded and to document the procedure for investigating allegations of misconduct.

The document is aimed at the following:

a) All staff of the University who are involved in research conduct. This includes:

- staff directly involved in carrying out research

- Deans of Schools, Associate Deans for Research, Senior Tutors for Research and Heads of Faculties/Department/Centres (or equivalent) who have responsibility for overseeing staff and student research activity within their areas

- staff responsible for supporting research activity

- School and Department research committees and University level committees responsible for overseeing staff and student research activity

- staff responsible for overseeing the research conduct of students (see below).

All members of the University, and staff in particular, are expected to ensure that they, and others for whom they have responsibility, understand and adhere to the highest possible standards of research practice that could reasonably be expected of them.

b) All students registered with the University who are involved in research conduct. This includes:

- research (e.g. practical research, projects, dissertations, theses) carried out by students studying at all levels on University courses

- contributions to other research activity carried out under the name of the University (e.g. contributions to staff research activity, contributions to joint projects with other institutions or organisations).

The University considers it essential for its students to have an understanding and appreciation of good research practice. It is also important that students are aware explicitly of what constitutes misconduct, how it is identified and investigated, and the action that might be taken should any instance be upheld. This clearly applies most compellingly for doctoral level students but is also important for students undertaking research within the context of a taught degree.

All students must therefore be advised of the existence of this document and strongly encouraged to familiarise themselves with it at departmental induction and via course handbooks.

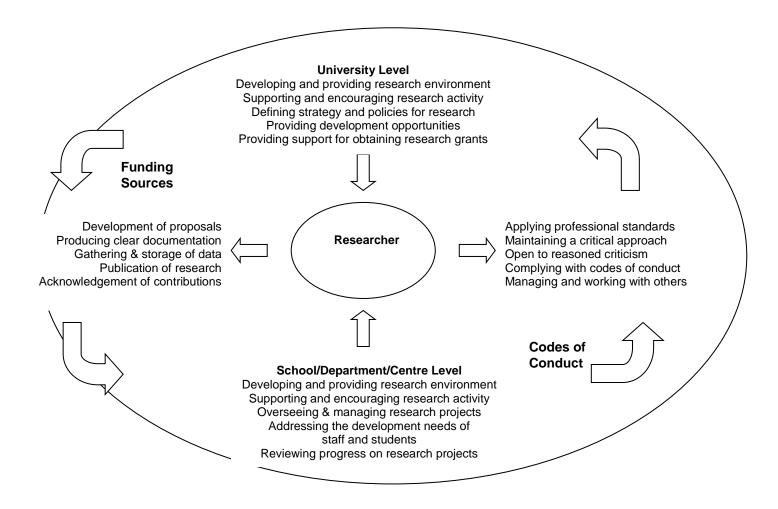## 3. Principles of Good Research Practice

Good practice in research is based on the maintenance of professional standards. The Nolan Committee on Standards in Public Life identified Seven Principles of Public Life as selflessness, integrity, objectivity, accountability, openness, honesty and leadership. The UKRIO Code of Conduct further identifies the key principles in good research practice as excellence, honesty, integrity, co-operation, accountability, providing and obtaining the necessary training and skills, and safety. University members are expected to adhere to these principles and in particular must ensure:

- The application of the highest possible standards of honesty, confidentiality, care and integrity in planning, developing, completing and disseminating a piece of research, including consideration of the potential impact of the research on others (whether directly or indirectly), and in the acknowledgement of the direct and indirect contributions of others.

- A continuing engagement in developments in relevant subjects and disciplines, including their methodologies.

- Clear planning, rationale and methodologies for each research project (see section 6 below).

- A critical approach to one's own research results and a willingness to engage with others in discussion of both the approach taken and the research findings.

- Compliance with regulations laid down by the University and funding or other relevant research bodies (e.g. the NHS) as well as legal, health and safety, and moral obligations. This includes consideration in all cases of whether the research to be undertaken has ethical implications and

where necessary seeking and abiding by the appropriate ethical approval for the research (see section 7 below).

4. Responsibilities for good practice

The professional standards of individual researchers form part of a network that supports good research practice. Each component of this network including the School, the University, funding bodies and the external research community has an important part to play in nurturing good practice in research.

University Level
Developing and providing research environment
Supporting and encouraging research activity
Defining strategy and policies for research
Providing development opportunities
Providing support for obtaining research grants

Funding Sources

Development of proposals
Producing clear documentation
Gathering & storage of data
Publication of research
Acknowledgement of contributions

Researcher

Applying professional standards
Maintaining a critical approach
Open to reasoned criticism
Complying with codes of conduct
Managing and working with others

Codes of Conduct

School/Department/Centre Level
Developing and providing research environment
Supporting and encouraging research activity
Overseeing & managing research projects
Addressing the development needs of
staff and students
Reviewing progress on research projects

5. Management, Leadership and working with others

(i) University Level

The University has a responsibility to develop and provide a working environment that is conducive to good research practice. The Pro Vice-Chancellor (Research and Enterprise) and the University Research & Enterprise Committee are responsible for supporting and encouraging research activity within the context of the University Strategy, defining and implementing policies on research and taking an overview of the research plans of Schools. The Senate Research Ethics Committee is responsible for overseeing all aspects of the ethics of research investigations and for ensuring in particular that research involving human participants and animal subjects carried out in the University or under its auspices meets ethical requirements.

The Research and Enterprise team, Organisational Development, Human Resources and the Department for Learning Enhancement & Development (LEaD) support good research practice at University level through the provision of individual and general advice and guidance and through a programme of training and development opportunities directed at all staff involved in research.

The University's Graduate School Committee under the chairmanship of the Dean of the Graduate School, the Senior Tutors for Research Forum and Student and Academic Services are responsible for overseeing and supporting the University's research students and for the development of policy and practice in relation to research degrees. This includes the production of guides for research students and staff involved in research degree provision and holding University induction and training sessions for research students.

(ii) School Level

At local level, responsibility for creating and developing an environment that promotes and ensures good research practice lies with Deans of School, Associate Deans and Senior Tutors for Research and Heads of Faculty/Department/Centre (or equivalent). In addition, each School has a Research Committee that assists in fostering good research practice.

The School is responsible for overseeing and promoting the research activity of teams and individuals within its areas, reviewing overall progress, performance management and considering the training and development needs of staff, including the skills required for the management, supervision and appraisal of research assistants and other members of staff and for the management and supervision of research students. In addition, the Head of Faculty/Department/Centre is responsible in the first instance for ensuring the implementation of an appropriate mentoring scheme (in consultation with Organisational Development) for new members of academic and research staff, particularly those new to the profession. The Head of Faculty/Department/Centre is also responsible for ensuring that contract research staff are given access to the same information and facilities and are included in local and University activities in the same way as staff on continuing contracts. Good practice in research should also be considered during the annual appraisal process as a matter of routine for academic and research staff and for any other staff involved in research.

Schools are also responsible for ensuring that their research students receive an appropriate level of training and supervision commensurate with that set out in the University's Guide for Research Students, and that they are included in appropriate local and University activities.

(iii) Research Centre or Unit

Where research centres or units are established within or across Schools, good research practice is the immediate responsibility of the appointed centre or unit leader. Where collaborative work is undertaken within the University it is expected that reporting requirements will be adhered to within each School concerned.

(iv) The individual researcher

Individual researchers (both staff and students) are expected to take direct responsibility for their own standard of practice and to recognise that they are accountable for this to the University, to any other funding body concerned, to their profession and to other staff and students involved in the research. In particular, individuals are expected to ensure that they are familiar with and comply with all relevant regulations and codes of practice which may apply to their research, and that they take appropriate steps to obtain advice whenever necessary. Researchers are also expected to consider their own training and development needs and to be proactive in taking up opportunities to address these. The University will seek to make guidance and training accessible in order to enable researchers to fulfil these responsibilities but the primary onus for doing so must rest with the researcher.

(v) Collaborative research with partner organisations and individuals outside the University

Members of the University are expected to apply the principles of the good practice framework in any collaborative work undertaken with external individuals and/or organisations. Where individuals or groups are engaged in collaborative research with bodies outside the University, it is expected that internal reporting requirements at School and University level will continue to be met as appropriate. Where members of the University are involved in collaborative research that has ethical implications, formal approval from the University must be sought through the relevant channels (see section 7 below) in addition to any ethics approval that is sought from external bodies, unless it is explicitly agreed that an external approval process will stand in place of University approval requirements.

Where research is being undertaken with international partners or involving field studies to be carried out overseas, steps must be taken to ensure that any legal and ethical requirements of the other country or countries concerned which may apply are met. It should also be recognised that understanding of what constitutes acceptable practice in research may vary between both disciplines and countries. Researchers should ensure that a shared understanding is reached within a collaborative research team in order that the expected high standards of practice are maintained.

(vi) <u>Features of good research practice in management, leadership and working with others</u>

Good research practice for management, leadership and working with others includes:

- Ensuring compliance with regulations laid down by the University and funding bodies as well as legal, health and safety, ethical and moral obligations and the encouragement of good research practice.

  Central University advice on these matters can be obtained from the Research & Enterprise Office, the Research Grants and Contracts team in the Research and Enterprise Office, the Human Resources Department and, with regard to ethical issues, the Secretary to Senate Research Ethics Committee in the Research & Enterprise Office. Advice on University insurance can be obtained from the Procurement Team in the Finance and Procurement Department. Advice on Data Protection, Freedom of Information and records management can be obtained from the Information Compliance Officer. Advice on Health and Safety matters, including risk assessments for overseas travel, can be obtained from the University Safety Manager.

- The encouragement and support of Deans of School for University members to undertake research including collaborative and cross-disciplinary work.

- An openness and responsiveness of researchers to reasoned criticism by colleagues and peers and the fostering of debate, open exchange of ideas and mutual cooperation within and across Schools and Research Centres and Units.

- Positive, transparent and fair leadership.

- Team leaders ensuring that, within any team work, all members are clear on procedures and direction of the research.

6. Good research design

The following points should be considered when designing research projects:

- The proposed research should address pertinent questions and be designed either to add to existing knowledge about the subject or to develop methods for research into it.

- The design of the study should be appropriate for the question(s) being asked and address the most important potential sources of bias including any conflicts of interest.

- The design and conduct of the study, including how data will be gathered, analysed and managed and may eventually be made available to others, should be set out in detail in a pre-specified research plan or protocol.

- All necessary skills and experience should be available to carry out the proposed research in the proposed research team or through collaboration with specialists in relevant fields, where this applies.

- Sufficient resources should be available to carry out the proposed research and these resources should meet all relevant standards.

- An assessment should be carried out in advance to consider ethical issues, any relevant legal requirements and any other risks to the organisation, to the research or to the health, safety and well-being of researchers and research participants during the research, particularly in the case of lone researchers working away from the University, or to others arising from its potential findings.

The dignity, rights, safety and well-being of any participants must be a primary consideration in any research study.

- Any issues relating to the above points should be resolved as far as possible prior to the start of the research, including taking advice on any risks or conflicts of interest identified. It is a University requirement that ethical approval must be received in advance of any research commencing.

- Researchers should be prepared to make research designs available to peer reviewers and journal editors when submitting research reports for publication.

7. Ethical approval of research

The consideration of whether planned research has any ethical implications and addressing any issues arising are key aspects of good practice in research. Staff and students should also be aware that the University's insurance and indemnity cover will not address issues arising from research where necessary ethical approval has not been obtained. It is therefore vital that ethical approval is sought where required and that staff and students abide by the terms of any approval given. No research participant should be recruited or contacted until any necessary approval has been given.

For example, if consent is not properly obtained from research participants (vulnerable or otherwise), or if data protection and record keeping requirements are not properly addressed, damage to participants and/or possible litigation could ensue. Similarly, if issues relating to researcher or participant safety are not adequately addressed, serious problems may arise.

Examples of research which has implications requiring ethical approval include in particular:

(i) interviews

(ii) research on any of the following, including the use of questionnaires and conduct of surveys: children (those under 18), those unable to give informed consent, minority groups, vulnerable categories, pregnant women or women in labour and persons with a physical or mental disability

(iii) conduct of a survey involving a volunteer sample

(iv) observation of human behaviour

(v) studying illegal activities

(vi) any research involving collection of personal information

(vii) research on human tissue or involving a direct physical intervention.

Staff undertaking research which includes any of the above areas will need to submit their research proposals for approval at either School or University level according to the delegations framework agreed by the Senate Research Ethics Committee. The Secretary to Senate Research Ethics Committee will be able to provide guidance (contact details can be found on the ethics webpages).

For students undertaking research which has ethical implications, approval usually needs to be sought in the first instance at School or Department level in line with School policy, details of which should be published in course handbooks. Dependent on the nature of the research it may be necessary for University level approval to be obtained. Further guidance on this matter can be obtained from the Secretary to Senate Research Ethics Committee.

Consideration should also be given to any issues arising as the research develops which may trigger ethical concerns, whether these involve ethical issues which were not initially predicted or a change in the research leading to a variation to the basis on which ethical approval may initially have been given. In such cases further guidance should be sought to establish whether an amendment or re-approval is necessary. If any untoward events occur during the research (whether directly related or associated) or if the study is stopped or abandoned, this should also be reported. Further guidance can be obtained from the Secretary to Senate Research Ethics Committee.

8. Submission of research proposals for external funding and financial management of research

The Research Grants and Contracts team in the Research and Enterprise Office are available to provide advice on applying for external funding for research proposals and on the financial management of research. Good research practice in this regard includes:

- Integrity in submitting research proposals; principal investigators should take all reasonable measures to ensure the accuracy and completeness of information which is contained in applications for funding.

- Integrity in applying for public or private sources of funding and probity in using the funds only for the purposes for which they are given.

- The strict adherence to the best contemporary legal, administrative and ethical practices in research which involves human or animal subjects.

- Compliance with the requirements of relevant codes of conduct (or equivalent) of external bodies where appropriate.

- Compliance with the terms and conditions of any research grant or contract awarded.

- Compliance with University regulations for procurement of equipment and for the recruitment of staff funded by a research project, and cooperation with any monitoring or audit of finances relating to research projects.

- Reporting back of results and activities both to the funding body and the University.

9. Documentation of research and data archiving

For all research carried out by members of the University, documentation should be clear and complete. Maintenance of the documentation is the responsibility of the researcher. Accurate records should be kept of the methodologies used and the results obtained throughout the whole process. This is required not only to demonstrate the use of proper practice but also as evidence in the event of any subsequent questioning on process and conduct, including possible patent applications.

Documentation should be stored safely and filed in a coherent, easily accessible format. Where documentation includes data relating to individuals, the researcher must ensure that this is stored securely and confidentially, is not kept for longer than necessary and is disposed of at the appropriate time with due regard to security and confidentiality. Where documentation is stored in electronic format, the researcher should ensure that back-up copies are maintained and kept securely. Hard copies of any key documents should always be kept.

In relation to the gathering, recording and storage of data in clinical research or in laboratory-based work, additional guidance should be investigated and followed such as that available from the Medical Research Council (e.g. *Good Research Practice*: Medical Research Council Ethics Series).

Responsibility for the provision and maintenance of suitable storage and secure disposal facilities rests with Schools who, within the University's management structure, are responsible for arranging with the University the identification, allocation and management of space and facilities to meet the needs of their staff and subject areas.

The main features of good research practice for documentation include:

- The clear documentation of the methods and processes that are used in the research, and the preservation of such documentation for at least ten years.

- The safe and secure storage of primary data, normally for at least ten years, and a safe and secure method of disposal after this time, all in accordance with the requirements of the Data Protection Act.

The requirements for data storage and archiving will vary according to the academic discipline and may also be dictated by the funding body and/or publisher where relevant (e.g. the ESRC requires any data resulting from research it funds to be deposited in the UK Data Archive). Research data may include the factual records (numerical scores, textual records, images and sounds) used as primary sources for the research and required for the validation of the research findings, along with associated documentation such as laboratory notebooks, preliminary analyses, drafts of papers or other types of output, peer reviews and personal communications, and in some instances physical objects.

In the event of a member of staff leaving the University, data and records relating to any research undertaken during the course of their employment remain the property of the University unless otherwise agreed (for example as part of the terms of a funding agreement or in the case of the transfer of a grant to another university with a departing Principal Investigator). The Head of Department should ensure that discussion takes place with the departing member of staff (and where appropriate their research group) during the notice period to consider the future needs of the Department or research group and of the member of staff, and to agree the basis on which data and records will be retained within the University and/or taken as copies or originals by the member of staff on their departure. It may be necessary to consult additional colleagues working in the area to determine the best outcome, particularly in the case of staff carrying out research independently of a team. All data or records retained need to be in a form which is usable by others who have not been closely involved with the original work. In the case of data derived from research involving human participants, consideration should also be given to the basis on which consent was given for the data to be used to ensure that this is not breached by any future re-use of data.

The same considerations apply in the case of research students where the supervisor(s) should ensure that discussion takes place with their student, and where appropriate with the Head of Department or research group, in advance of the research student's completion of their thesis and/or departure from the University. The University does not lay claim to the intellectual property or associated records arising from research projects undertaken by undergraduate or taught postgraduate students in the course of their degree studies.

Central University advice on the retention and destruction of data and the Data Protection Act can be obtained from the Information Compliance Officer (contact details are to be found via the Information Compliance webpages).

10. Publication, authorship and acknowledgement of contributors

It is normally a condition of obtaining research funding that results are published in a recognised format. The University would, however, expect all research to be published so as to be made available to the wider research community unless conditions of confidentiality have been agreed as part of a research contract or where protection of intellectual property rights is necessary for a period.

Where a researcher has been the only individual involved in producing the piece of research, he/she has responsibility to authorise its publication. Where a group of researchers has been involved in creating a piece of research, it is the responsibility of the research centre leader or principal investigator to authorise publication. In the case of research which has been funded by an external body, the principal investigator should ensure that any requirements or expectations of the funding body in regard to notification prior to publication are taken into account.

There is no universally agreed definition of authorship, however, the main features of good research practice include:

- Generosity with the assigning of authorship to acknowledge fairly the contribution an individual has made. According to The COPE (Committee on Publication Ethics) Report 1999, 'the award of authorship should balance intellectual contributions to the conception, design, analysis and writing of the study against the collection of data and other routine work'.

- The expectation that, where an individual is listed as an author, he/she must be able to identify his/her contributions and be familiar with the overall structure and purpose of the document, noting that some specific components of the document written by other co-authors might fall outside his/her areas of expertise.

- That all authors accept full responsibility for the content of a publication that contains their names as authors.

- That the use of honorary authorship is unacceptable practice. If there is no task that can reasonably be attributed to an individual, that person should not be credited with authorship.

- That wherever possible the research is peer reviewed prior to publication.

- That the possible impact of publication on others is taken into account prior to publication, for example the impact of clinical research on patients suffering from a condition which is the subject of the research where the findings of the study may have a negative effect on individuals.

- Contributions made by those other than authors must be acknowledged fully and properly. This includes students acknowledging staff/supervisor contributions to their work (and vice-versa) and the appropriate acknowledgement of any sources of funding for the research.

- That it is unacceptable practice to submit research reports to more than one potential publisher at any one time (i.e. duplicate submission) or to publish findings in more than one publication without disclosure and appropriate acknowledgement of any previous publications (i.e. duplicate publication).

- That any actual or potential conflicts of interest should be declared when reporting research findings at meetings or in publications. Where there is, or may be, a conflict of interest (for example a researcher has been in receipt of funding, current or previous, from a company and is submitting work for publication about a product from that company) the publisher should be informed. If in doubt advice should be sought.

Practice on issues such as order of authors varies between disciplines. Links to some examples of professional body guidance on authorship are provided in the main research integrity page.

Where a member of the University encounters unwarranted pressure from any internal or external individual or body to alter (e.g. dilute, manipulate or suppress) findings arising from a piece of research, advice should be sought immediately from the Dean of School or Head of Faculty/Department/Centre. Further advice can also be obtained from the Pro Vice-Chancellor (Research and Enterprise).

Information regarding intellectual property rights and responsibilities of members of the University can be found in the University's Code of Practice Relating to Intellectual Property. Members of the University are expected to be aware of and to comply with the terms of this Code. Care should be taken to avoid prior disclosure of research ideas or findings where this might invalidate any commercial property rights that could result. There is however a presumption that any intellectual property discovered or developed using public or charitable funds should be disseminated in order to have a beneficial effect on society at large, unless there is any express restriction placed on such dissemination.

Researchers are expected to adhere to any requirements set by the University or by funding bodies for the deposit of publications in open access repositories and are encouraged to disseminate their research by this means wherever possible.

11. Fostering of good practice

Good practice in research can only be achieved in a culture where members of the University have a clear understanding of good research conduct. This includes:

- Commitment of the individual researcher to the University's framework for good practice in research and other associated codes of conduct. The University's framework for good practice in research will be available via the University website to all staff and students.

- Commitment from Deans of Schools and Heads of Faculty/Department/Centre to ensure that research activity carried out in their areas follows the University's framework for good practice in research and other associated codes of conduct, including equal opportunities.

- Commitment from staff line-managing and/or appraising colleagues and/or supervising students to the University's framework for good practice in research and other associated codes of conduct.

- Appropriate steps being taken to share information on research that is being published so as to raise awareness of activity amongst staff and students and maintain accurate records.

- Implementation of appropriate and effective mentoring systems, particularly for staff beginning their academic careers.

- Appropriate training for staff wishing to take on leadership or other roles.

- Opportunities within a research culture for open discussion and debate.

- The availability of appropriate training and development for all staff involved in research throughout their careers, in particular for new research supervisors, principal investigators and contract researchers, and for research students.

- The prompt declaration of any conflict of interest within a piece of research whether it be personal, financial, moral, legal or ethical.

- The widespread dissemination of the University's Framework for Good Practice in Research including distribution to new academic and other relevant staff during induction as well as reference to its existence in student course handbooks.

- The existence of an effective, quick and impartial system for investigating and dealing with allegations of research misconduct.

- The assurance that those who, in good faith, allege the existence of misconduct will be treated fairly and without prejudice, in line with the University's Public Interest Disclosure Policy. Good practice in research includes reporting any concerns about the conduct of research.

- A mechanism for monitoring the effectiveness of the University's policy on misconduct.

12. Categories of misconduct

Misconduct in this context is defined as behaviour that represents a serious breach of the principles of good practice in research conduct and/or is based on deliberate deception and dishonesty as opposed to unintentional error. Poor practices, such as weak procedures or inadequate record-keeping which may jeopardise the integrity of the research but might only require further training or development rather than formal disciplinary action, are strongly discouraged but are not the focus of this aspect of the framework.

Misconduct, or unacceptable research conduct, takes various forms and includes (although is not restricted to) the following:

- **Plagiarism –** the copying of ideas, data, text or any other form of material or intellectual property without permission from or acknowledgement of the author.

- **Fabrication or falsification** – the creation of false data or other aspects of research, including documentation and participant consent or the inappropriate selection and/or manipulation of data, imagery, consents and/or findings with an intention to deceive.

- **Piracy** – the deliberate exploitation of the ideas of others without permission or acknowledgement, including the use of material that has been provided in a privileged way for review, examination, assessment or appraisal.

- **Negligence or breach of duty of care -** the failure to follow and apply appropriate duty of care to contemporary legal, administrative and ethical practices and codes of conduct for research, particularly that which involves other human or animal subjects. This includes improper disclosure of the identity of research participants and placing others in danger without consent or without

proper safeguards, including both reputational danger, where this can be anticipated, and physical safety.

- **Malicious accusation** – alleging a charge of misconduct against another person with wrongful intention.

- **Interference** - the intentional damage to, or removal of, the research-related property and data of another person.

- **Bullying** – including the persistent and unjustifiable denigration of the work of another person.

- **Non-recognition** – the failure to give fair and appropriate credit for work done by others, including failure by (i) senior staff to recognise formally work done by junior staff and (ii) students to recognise formally contributions from staff/supervisors.

- **Misrepresentation** – in addition to misrepresentation of data, this includes undisclosed duplication of publication, including undisclosed duplicate submission of manuscripts for publication; misrepresentation of interests, including failure to declare material interests either of the researcher or of the funders of the research; misrepresentation of involvement such as inappropriate claims to authorship and/or attribution of work where there has been no significant contribution; and misrepresentation of qualifications and/or experience.

- **Victimisation** –To subject a person to detrimental treatment due to the fact that they had brought a charge in good faith against another.

- **Non-compliance -** the failure to adhere to whatever terms and conditions have been freely entered into in order to receive public or private funds from outside the University. This may include mismanagement or inadequate preservation of data and/or primary materials in breach of funders' or University policy or relevant legislation.

- **Collusion** – the conscious participation with another in any of the above.

13. Processes for dealing with allegations of misconduct

(i) Reporting allegations

Both staff and students should feel able to raise any legitimate matters of concern relating to research conduct. These should be brought to the attention of the Head of Faculty/Department/Centre, the School Associate Dean for Research or Senior Tutor for Research or the Dean as seems most appropriate to the context of the individuals and issues concerned. If necessary matters may also be raised with the Pro Vice-Chancellor (Research and Enterprise) although it would usually be expected that if possible they should first be pursued within the School. Matters may be raised orally in the first instance, particularly in the context of a preliminary informal investigation, but it will usually be necessary to make a complaint in writing if it is to be pursued under formal University procedures.

The University will endeavour to protect its staff and students against ill-founded, mischievous, frivolous or malicious complaints. Staff and students may assume that their research should be regarded as honest, until demonstrated to be otherwise. The University will protect those who have made a complaint in good faith, if the case is dismissed. Likewise, the University will protect accused staff or students in cases where allegations are subsequently dismissed.

(ii) Investigation of allegations

In all cases, principles of equal and fair treatment, objectivity, consistency and independence of investigation will apply. The principle of confidentiality will not normally be breached except in cases where it is reasonable or necessary for the University to do so. Timescales will be followed as set out in the relevant procedures. Staff and students have the right to be fully informed of the nature of any allegations of misconduct and to be informed of any decisions made during the disciplinary process. Similarly, if an allegation is not initially accepted and the complainant believes that they have been misunderstood or that key evidence has been overlooked, they will have the right to respond further.

Staff: The relevant disciplinary procedures and/or Statutes will apply, including the right of appeal against decisions in disciplinary hearings, according to the terms and conditions of the member(s) of staff concerned. In the case of research misconduct, any investigation undertaken within the disciplinary procedures will be carried out by someone with sufficient knowledge and experience of research and any hearings will also include suitably experienced members.

Research misconduct as outlined in the *Framework for Good Practice in Research* will normally be regarded by the University as either serious or gross misconduct, and may lead to dismissal without notice. Each case of misconduct will be considered on its particular merits, taking into account any mitigating circumstances. Complaints of misconduct that appear to be frivolous, malicious or mischievous will also constitute a disciplinary offence.

If procedures relating to research misconduct are terminated without conclusion that the allegations should be dismissed (for example if the member of staff resigns), and if serious concerns remain that misconduct may have occurred, the individual concerned may be asked nonetheless to see the matter through to conclusion. If this is refused, the University may pass details of the outstanding case without prejudice to any future employer or bone fide enquirer about their career while at the University, and to any appropriate regulatory or professional supervisory body.

Students: Any detected instances of misconduct will be considered under the relevant sections of the University's Ordinances and Regulations. Instances of cheating will be considered under the University Assessment Regulations. Other instances of misconduct, including any instances of cheating which are too serious to be considered under the Assessment Regulations, will be considered under the Student Disciplinary Code. The right of appeal against decisions of academic misconduct or disciplinary hearings will apply as set out in the relevant Regulations or Code.

(iii) Recording and reporting cases of research misconduct

The University has a responsibility to its funding bodies to maintain and report on cases of research misconduct. In cases where research misconduct is investigated and found to have occurred, Schools should make a brief report on the nature of the case to the Pro Vice-Chancellor (Research and Enterprise) in order that accurate and complete reporting can be achieved. Where it is necessary to maintain confidentiality this may exclude details which would identify the member(s) of staff or student(s) concerned. This may be overruled in cases where the University has an obligation to make a report to the funder, for example to comply with Research Council conditions of funding.

The UK Research Councils require allegations of research misconduct relating to an individual funded by or engaged with them (including acting as a supervisor for an RCUK-funded postgraduate student or engaged with peer review activities) even if the allegation relates to work not connected to a grant awarded by them. They reserve the right to take appropriate action, after consultation with the University, about any duties being performed for RCUK. Other funders may have similar requirements. In addition, if an individual is suspended pending investigation, the funding body sponsoring any research with which they are involved must be advised.

Reports on serious misconduct may also be made on individual cases to relevant regulatory or statutory bodies or to professional supervisory bodies where this is required or appropriate to public interest.

City University London
August 2015

Appendix to the Framework for Good Practice in Research

References and further sources of information

University documents and guidance:

Main section of the University website for ethics requirements:
http://www.city.ac.uk/research/research-and-enterprise/research-ethics

Data Protection and Information Compliance:
https://intranet.city.ac.uk/staff/info_compliance/info_compliance.html (Internal access)

University Code of Practice Relating to Intellectual Property (for staff and students):
http://www.city.ac.uk/__data/assets/pdf_file/0005/77063/City-University-London-IP-Policy-v0.86-1410101.pdf

Copyright Policy http://www.city.ac.uk/__data/assets/pdf_file/0004/130288/City-University-London-Copyright-Policy.pdf

University Ordinances and Regulations:
http://www.city.ac.uk/about/city-information/governance/constitution/senate-regulations
See Regulations 13 for Student Disciplinary Code.
Contact Human Resources for advice on staff disciplinary matters or handling allegations of misconduct.

Guidance on research degrees provision
http://www.city.ac.uk/about/education/quality-manual/9-research-degrees

Framework for Achieving Research Impact http://www.city.ac.uk/research/about-our-research/framework-for-research-impact

Whistleblowing
http://www.city.ac.uk/__data/assets/pdf_file/0007/208492/Whistleblowing_Procedure_November_2013.pdf

External documents and guidance:

Concordat to support research integrity
http://www.universitiesuk.ac.uk/highereducation/Documents/2012/TheConcordatToSupportResearchIntegrity.pdf

RCUK Code: http://www.rcuk.ac.uk/Publications/researchers/grc/

UKRIO Code: http://ukrio.org/wp-content/uploads/UKRIO-Code-of-Practice-for-Research.pdf

UKRIO checklist:
http://ukrio.org/publications/checklist-for-researchers/

Singapore statement on research integrity http://www.singaporestatement.org/

Montreal statement on research integrity
http://www.researchintegrity.org/Statements/Montreal%20Statement%20English.pdf

Committee on Publication Ethics – The Cope Report 1999:
http://fampra.oxfordjournals.org/cgi/content/full/17/3/218

Authorship:
British Psychological Society Principles of Publishing:
http://www.bps.org.uk/system/files/images/statement_of_policy_on_authorship_credit.pdf

Uniform Requirements for Manuscripts submitted to Biomedical Journals (section II.A):
http://www.icmje.org/icmje-recommendations.pdf

See also a discussion of academic authorship and further references at
http://en.wikipedia.org/wiki/Academic_authorship