

Governance Framework for Good Practice in Research



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Acknowledgements

The City University's Governance Framework for Good Practice in Research, upon which this framework is modelled.

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1. Introduction

As part of its strategy, the **School aims 'to develop and enhance research, and open up new directions of enquiry and practice'**. The Governance Framework for Good Practice in Research is designed to support this aim by defining the **School's expectations** of its staff and students who are involved in carrying out or supporting research activity and to assist in creating an environment of good research practice. It is intended that these safeguards will protect the quality of research carried out by staff and students from initial conception through to publication, and that professional standards are maintained throughout.

The Framework also meets the Research Councils requirement for Universities/Colleges to have an explicit policy in place for preventing, and where necessary taking action upon, any instances of misconduct, which both the Councils and other funding bodies regard as matters of serious concern. The School will apply its procedure to any allegation of misconduct, whether or not the research has been funded by an external source.

The framework closely mirrors the Framework for Good Practice in Research developed by The City University, **the School's validating university**, with adjustments to reflect the particular attributes of the School. It is consistent with other School policies and procedures, and there are a number of other documents which impact on, **or relate to, the School's research activity**, references to which can be found in Appendix A.

The document will be accessible from the **School's web site**.

2. Aims of the document

The aims of the Governance 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, project-based or individually led
- to encourage members of the School to maintain the highest achievable standards in their research conduct
- to ensure that the quality of research conducted by members of the School is safeguarded and to document the procedure for investigating allegations of misconduct.

The document is aimed at the following:

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

- staff directly involved in carrying out research
- Directors and Heads of Department (or equivalent) who have responsibility for overseeing student research activity within their areas
- Other staff responsible for overseeing the research conduct of students (see below).
- staff responsible for supporting research activity
- the Research & Knowledge Exchange Committee which is responsible for overseeing staff

research activity

b) All students registered with the School 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 School programmes
- contributions to other research activity carried out under the name of the School (e.g. contributions to staff research activity, contributions to joint projects with other institutions or organisations).

The School considers it highly appropriate for its students to have an understanding and appreciation of good research practice. It is also essential 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.

All students will therefore be advised of the existence of this document at an appropriate time in their programme, and via programme 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. Members of the School are expected to adhere to these principles and in particular must ensure:

- The application of the highest possible standards of honesty, confidentiality and care in planning, developing, completing and disseminating a piece of research 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.
- A critical approach to **one's own research** results.
- Compliance with regulations laid down by the School and funding or other relevant research bodies as well as legal, health and safety, and moral obligations. This includes seeking the appropriate approval for research which has ethical implications, for example research which involves:

(i) interviews

(ii) circulation of a questionnaire to any of the following: 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 or any of the following: 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

(iv) observation of human behaviour

(v) studying illegal activities

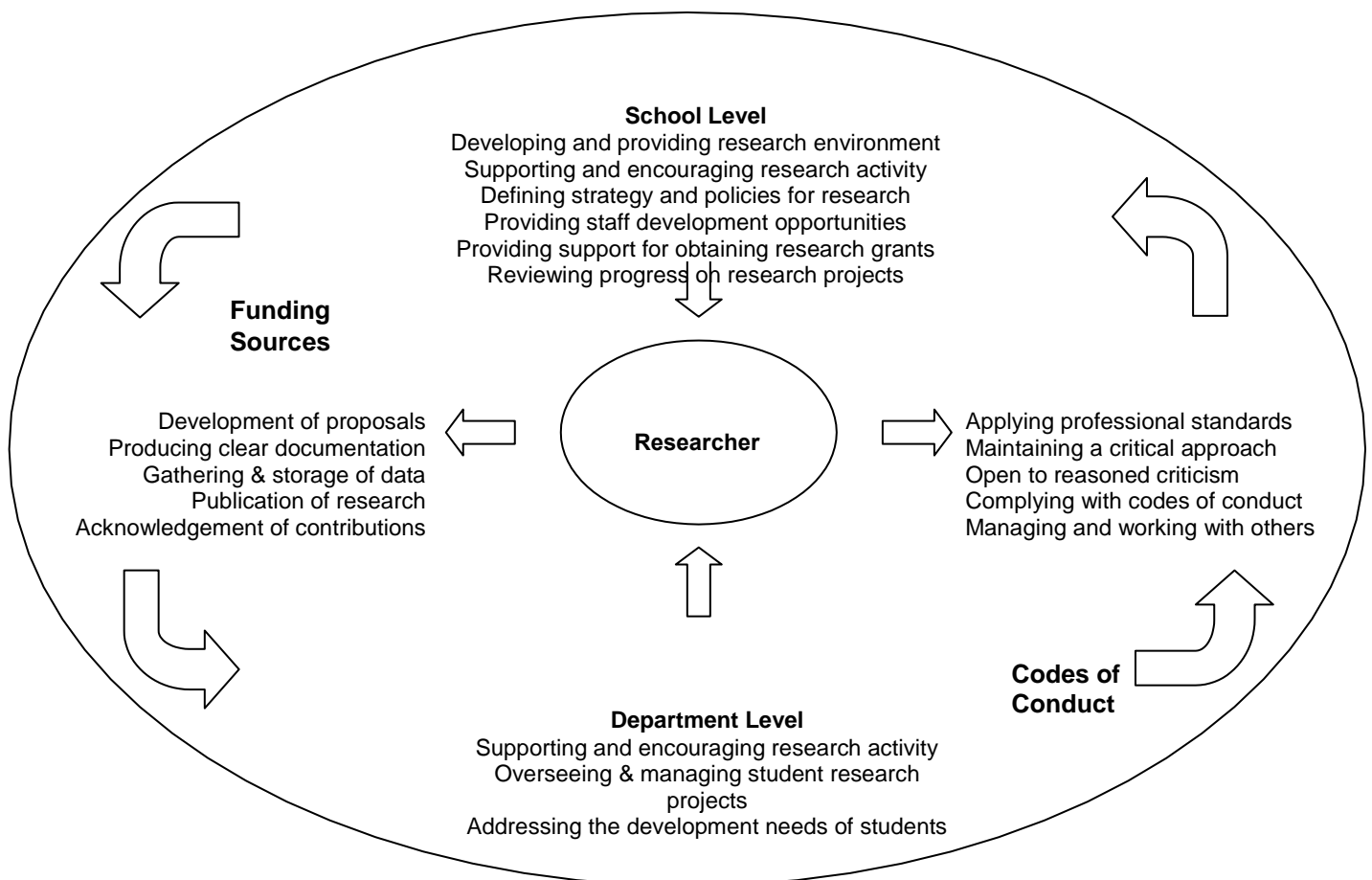
(vi) research on human tissue

(vii) research on any of the following: 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.

Staff and students undertaking research which includes any of the above areas will need to submit research proposals to the School Research Ethics Committee.

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 Department, the University, funding bodies and the external research community has an important part to play in nurturing good practice in research.



5. Management, Leadership and working with others

(i) School Level

The School has a responsibility to develop and provide a working environment that is conducive to good research practice. The Head of Research and the Research and Knowledge Exchange Committee are responsible for supporting and encouraging research activity within the context of the School's strategy, and for defining, implementing and monitoring policies on research. The Research and Knowledge Exchange Committee is responsible for awarding School research grants, approving grant applications to external funders, approving research proposals and monitoring the progress and conduct of all research undertaken by members of the School's **staff**.

(ii) Departmental Level (or equivalent)

At local level, responsibility for creating and developing an environment for students that ensures good research practice lies with Directors and Heads of Department. This includes the production of a Research Studies Handbook, ensuring that induction and training sessions are provided for research students, overseeing and promoting the research activity of students, reviewing overall progress, performance management and considering their training and development needs, including engagement in appropriate departmental and School activities.

They also report on these matters to the relevant Programme Board.

Departments are also responsible for considering the development needs of staff who supervise research students to ensure that they have the skills required for the management, supervision and appraisal of these students.

(iii) The individual researcher

Individual researchers are expected to take direct responsibility for their own standard of practice and to recognise that they are accountable for this to the School, 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.

(iv) Collaborative research with partner organisations and individuals outside the School

Where collaborative work is undertaken with external individuals and/or organisations the School expects members of the School to apply the principles of the good practice governance framework. Where individuals or groups are engaged in collaborative work with bodies outside the School it is expected that progress reports will be made to the Research and Knowledge Exchange Committee. Where members of the School are involved in collaborative research that has ethical implications, formal approval from the Ethics Committee is required, in addition to any ethics approval that is sought from other external bodies.

(v) Features of good research practice in management, leadership and working with others

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

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

Advice on these matters can be obtained from the Head of Research, who are also able to provide sources of further information. Advice on School insurance can be obtained from the Director of Business Support. Advice on Data Protection, Freedom of Information and records management can be obtained from the Registry Record Manager.

- The encouragement by Directors and Heads of Department for School 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 Departments.
- 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. Submission of research proposals for external funding

Advice on applying for external funding for research proposals is available from the Research Manager or Head of Research). Good research practice with regard to this 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).
- Reporting back of results and activities both to the funding body and the School.

7. Documentation of research

For all research carried out by members of the School 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.

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.

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.

Advice on the retention of data and the Data Protection Act can be obtained from the Registry Records Manager.

8. Publication, authorship and acknowledgement of contributors

It is normally a condition of obtaining research funding that results are disseminated, so as to make them available to the wider research community, and opportunities for formal publication should be sought.

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 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 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 that 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 medical-related research on patients suffering from a condition which is the subject of the research.
- 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.

Where there is, or may be, a conflict of interest (for example a researcher has been in receipt, current or previous, of funding 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.

Where a member of the School 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 Head of Research.

Information regarding intellectual property rights and responsibilities of members of the School can be found in the **School's Research Handbook**. Members of the School are expected to ensure that they are aware of and comply with these guidelines.

9. Fostering of good practice

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

- Commitment of the individual researcher to the research governance framework and other associated codes of conduct.
- Commitment from Directors and Heads of Department to ensure that research activity carried out in their areas follows the research governance framework 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** research governance framework and other associated codes of conduct.
- That as a standing agenda item, the Research and Knowledge Exchange Committee receives notification of 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/support systems, particularly for staff who are new to research.
- 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 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 Research Governance Framework as appropriate.
- 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.

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

10. Categories of misconduct

For the purposes of this document misconduct is behaviour that breaches the principles of good practice in research conduct, and is that based on deliberate deception and dishonesty as opposed to unintentional error. Misconduct 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 without permission from or acknowledgement of the author.
- Fraud – the use or manipulation of data or findings with an intention to deceive. This includes the invention, falsification or selective use of data which creates an impression that the researcher knows to be less than complete.
- 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 - 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.
- 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.
- 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 School.
- Collusion – the conscious participation with another in any of the above.

11. Process for investigating allegations of misconduct

(i) Staff

The process for investigating allegations of misconduct, and the related disciplinary procedures, relating to research will conform to the policies and procedures of the City of London Corporation (as the employer) and will be based on the principles stated in Appendix B of this document.

(ii) Students

Any detected instances of misconduct, in relation to research undertaken as part of a validated programme of study will be **considered in the light of the relevant sections of the City University's Ordinances and Regulations**. Instances of cheating will be considered under the 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 Code of Conduct and Disciplinary Procedure.

12. Review of the Governance Framework for Good Practice in Research

The effectiveness of the framework will be reviewed every five years in accordance with the review process of other School policies and procedures.

Appendix A

1. School publications, guidelines and references

a) Information about the School's research strategy and guidance on applying and conducting School funded research can be found on the o drive/School documents

b) For information on research requiring approval from the Ethics Committee please refer to the O drive/School documents/Committees

c) For information on Research Grants and Contracts and advice on applying for research funding please contact the Research Manager

d) Information on the School's research areas: www.gsmd.ac.uk/research

e) Information on the work of the School's Research and Knowledge Exchange Committee can be found on the O drive/school documents/committees. For further information please contact Pauline Galea, Research Co-ordinator, pauline.galea@gsmd.ac.uk Ext 5104

f) Information on applications for School Research Grants can be found in the research handbook (see above) or from Aoife Shanley, Research Manager, aoife.shanley@gsmd.ac.uk Ext 5283

i) Advice on the Data Protection Act and on data storage can be obtained from Jacqueline Armit, Jacqueline.Armit@gsmd.ac.uk

k) Further advice on the School's procedure for investigating allegations of misconduct by staff members can be obtained from the Human Resources Department.

l) Further advice on the procedure for investigating allegations of misconduct of undergraduate students can be obtained from Beverly Coates, Registry. Beverly.Coates@gsmd.ac.uk Ext 7182

m) **The School's Equal Opportunities Policy and the Student Code of Conduct** and Disciplinary Procedure can be found on O drive/school documents/policies

n) **The School's Code of Practice Relating to** Intellectual Property (for staff and students) can be found at in the Research Handbook.

o) For guidance on insurance contact the Interim Head of Facilities Patsy Carter, Patsy.carter@gsmd.ac.uk

2. External References and Publications

a) Arts and Humanities Research council (AHRC) information and guidance www.ahrc.ac.uk

b) Committee on Publication Ethics – The COPE Report 1999 www.publicationethics.org.uk and the COPE guidelines on Good Publication Practice www.publicationethics.org.uk/cope2002/pdf2002/21330_pp48_52.pdf

For health related research:

c) Wellcome Trust Guidelines on Good Research Practice www.wellcome.ac.uk

d) Good Research Practice: Medical Research Council Ethics Series www.mrc.ac.uk

e) Department of Health Research Governance Framework www.doh.gov.uk/research

f) Association of Medical Research Charities Guidelines on Good Research Practice www.amrc.org.uk

Appendix B

Principles for processes for dealing with misconduct relating to research

Key Principles

- Equal and fair treatment – in dealing with disciplinary matters, the School will treat all staff fairly and equally, regardless of political belief, sex, pregnancy, sexual orientation, disability, marital status, race, nationality, ethnic origin, religion, age, social class, part-time or fixed term status.
- Natural justice – the principles of fairness, objectivity, consistency, and independence will be applied in dealing with all disciplinary matters. Employees should have the right to reply at all stages of the disciplinary process. Justice should be attempted to be carried out, and seen to be carried out, with regards to both complaining and accused parties.
- Investigation - any disciplinary action by the School will be based on evidence gathered by independent officers. The School will attempt to prevent detriment suffered by complainants or accused employees, during investigation processes.
- Disclosure – employees 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. The principle of confidentiality will not normally be breached, except in cases where it is reasonable, necessary and practical for the School to do so.
- Timeliness – matters should be dealt with promptly, without undue delay by employees and the School.
- Appeal – employees have the right to appeal against decisions in disciplinary hearings.
- Maintaining good employee relationships – all staff should be treated in a professional and courteous manner by those involved in the disciplinary process. Support can be provided from the occupational health service and trades unions.
- Protection – the School will endeavour to protect employees against ill-founded, mischievous, frivolous or malicious complaints. Staff may assume that their research should be regarded as honest, until demonstrated to be otherwise. The School will protect employees who have made a complaint in good faith, if the case is dismissed. Likewise, the School will protect accused employees when allegations are subsequently dismissed.

Procedural Principles

- Gross misconduct – research misconduct as outlined in the *Governance Framework for Good Practice in Research* will normally be regarded by the School as 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.
- Complaints of misconduct – complaints should be made confidentially in writing to the appropriate officer as **defined in the School's** disciplinary procedures. Complainants have the right of appeal against dismissed allegations of misconduct following investigation.
- Investigation interview – the investigating officers will hold an interview with the accused employee/student, during which oral and written evidence will be considered. Records will be kept of the interview, which should, if possible, be agreed with the interviewee.
- Disciplinary and Tribunal hearings – if following the investigation, there is sufficient evidence to warrant it, a disciplinary hearing will be convened, to consider all the evidence in order to substantiate or rebuke the allegations, and if appropriate determine disciplinary sanction. Cases relating to staff will

be held under the City of London Corporation policies. Allegations that relate to students, will be held according to the Student code of Conduct and Disciplinary Procedure.

- Data Protection – records on misconduct issues and investigations, including unsubstantiated cases, will be stored until one year after the end of employment, in line with the Data Protection Act 1998.
- Legal advice – the School reserves the right to seek legal advice at any stage of the disciplinary process.