



Code on Good Research Practice

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Contents

Preamble	4
1 Principles	4
1.1 Statement of Principles	4
1.2 Observance of the Code	5
1.3 Breach of the Code	5
1.4 Advice	5
2 Good Research Practice	5
2.1 General guidance on good practice in research	5
2.2 Research Design	6
2.3 Conflicts of Interest	7
2.4 Peer Review	7
2.5 Submitting Proposals	8
2.6 Purchasing and Expenditure for Research	8
2.7 Professional Standards	8
2.8 Leadership	8
2.9 Monitoring and Audit	8
2.10 Health and Safety	9
2.11 Training	9
2.12 Research Data Management	9
2.13 Publications	10
3 Ethical and Legal Requirements	10
4 Handling Allegations of Research Misconduct	11
5 Internal Resources	11
6 External Codes	11
ACKNOWLEDGEMENTS:	12
Approved by Council: 19 July 2007	12

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

Code on Good Research Practice

Preamble

The University of Surrey resolves to be an honest and ethical institution in the way in which it conducts its business and discharges its responsibilities. The University of Surrey recognises and endorses 'the concordat to support research integrity' as published by Universities UK. The University is committed to maintaining the highest standards of rigour and integrity in all aspects of research. To that end, the University will oppose academic misconduct and will take appropriate and robust action in instances where misconduct or fraud is discovered.

1 Principles

1.1 Statement of Principles

The Code on Good Research Practice ('the Code') sets out the standards of performance and conduct expected of all those engaged in academic research and consultancy ('the researcher') in the University of Surrey ('the University') based on the following principles:

- 1.1.1 Research is defined as the pursuit and advancement of knowledge.
- 1.1.2 In line with 'the concordat to support research integrity' the core elements of research integrity (listed below) are the values through which trust and confidence in research stem, and from which the value and benefits of research flow. They apply to all aspects of research, including the preparation and submission of grant and project proposals, the publication and dissemination of findings and the provision of expert review on the proposals or publications of others (that is peer review).
- 1.1.3 It is the researchers' responsibility for ensuring that they act according to these principles in all aspects of their research work, including peer review.
- 1.1.4 The core elements are:
 - Honesty in all aspects of research, including in the presentation of research goals, intentions and findings; in reporting on research methods and procedures; in gathering data; in using and acknowledging the work of other researchers; and in conveying valid interpretations and making justifiable claims based on research findings.
 - Rigour in line with prevailing disciplinary norms and standards: in performing research and using appropriate methods; in adhering to an agreed protocol where appropriate; in drawing interpretations and conclusions from the research; and in communicating the results.
 - Transparency and open communication in declaring conflicts of interest (including financial); in the reporting of research data collection methods; in the analysis and interpretation of data; in making research findings widely available, which includes sharing negative results as appropriate; and in presenting the work to other researchers and to the general public.

- Care and respect for all participants in and subjects of research, including humans, animals, the environment and cultural objects. Those engaged with research must also show care and respect for the stewardship of research and scholarship for future generations.

1.2 Observance of the Code

All staff and students involved in academic research, as defined by Higher Education Funding Council for England (HEFCE), must familiarise themselves with the Code and ensure that its provisions are observed. This includes academic staff; researchers, visiting researchers, research students, research support staff, research managers and administrators. Executive Deans of Faculties and other senior staff have a duty to ensure compliance with the Code within their areas of responsibility. The University will draw attention to the Code in its induction processes for newly appointed staff and students. Principal Investigators and supervisors of students engaged in research will seek to ensure compliance with the Code on the part of research staff and students.

1.3 Breach of the Code

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

1.4 Advice

Where a researcher is in doubt about the applicability of the provisions of the Code, or about the appropriate course of action to be adopted in relation to it, advice should be sought from the appropriate Dean of Faculty or the Doctoral College in the first instance. Advice is also available from the University's Research Integrity and Governance Office (RIGO).

2 Good Research Practice

2.1 General guidance on good practice in research

- i. Researchers must comply with all legal and ethical requirements and other guidelines that apply to their research. This includes submitting research proposals for ethics review where appropriate and abiding by the outcome of that review. Researchers should also ensure that research projects are approved by all applicable bodies, ethical, regulatory or otherwise.
- ii. When conducting, or collaborating in, research in other countries, organisations and researchers based in the UK should comply with the legal and ethical requirements existing in the UK and in the countries where the research is conducted. Similarly, organisations and researchers based abroad who participate in UK hosted research projects should comply with the

legal and ethical requirements existing in the UK as well as those of their own country.

- iii. Organisations and researchers should ensure that all research projects have sufficient arrangements for insurance and indemnity prior to the research being conducted.
- iv. Researchers should:
 - Recognise their responsibility to conduct research of high ethical standards;
 - Be aware of the University's policies and procedures on good practice in research;
 - Make sure that research complies with these policies and procedures, and seek guidance when necessary;
 - Work with the University to ensure that they have the necessary training, resources and support to carry out their research;
 - Suggest to the University how guidance on good practice in research might be developed or revised; and
 - Comply with required practice in relation to ethics, health and safety, intellectual property rights, consultancy and codes of practice for research, as detailed below:
 - Ethics Handbook for Teaching and Research
 - Ethics Policy
 - Ethical Conduct Policy
 - Research Data Management Policy Code of Practice for Research Degrees
 - Code of Practice on Handling Allegations of Research Misconduct
 - Faculty Handbooks on Research
 - Intellectual Property code (including patents)
 - University Health and Safety Policy
 - Biosafety and Biosecurity Policy
 - Public Interest Disclosure Policy
 - Financial Regulations
 - Records Management Strategy

2.2 Research Design

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

- any issues relating to the above are resolved as far as possible prior to the start of the research.
- ii. Researchers, and the University (where appropriate) should conduct a risk assessment of the planned study to identify any ethical issues and legal requirements. Potential risks to the University, the research or the health, safety and wellbeing of the researchers and participants should also be identified at this stage. Researchers should report any risks to their manager or other appropriate person within the University, and take action to minimise them.
- iii. Where the design of a study has been approved by ethics, regulatory or peer review, researchers should ensure any subsequent alterations to the design are subject to appropriate review.
- iv. Research designs should be made available, when necessary, to peer reviewers and journal editors when submitting research reports for publications.
- v. To maximise impact and relevance of research, in many cases it is appropriate to seek advice from the Technology Transfer Office (TTO) to identify existing patents in the proposed field of research and avoid 'freedom to operate' issues.

2.3 Conflicts of Interest

- i. A researcher must make full disclosure of any potential or actual conflict of interest in research. Conflict of interest includes, but is not restricted to, personal or close family affiliation to, or financial involvement with, any organisation sponsoring or providing financial support for a project undertaken by a researcher.
- ii. Disclosure of a potential conflict of interest in research must be made to the Dean of Faculty as soon as is reasonably possible, and via the completion of the Declaration of Interests Form as described in the Ethical Conduct Policy.
- iii. Disclosure of a potential conflict of interest in research must be made clear to ethics committees, research participants, publications, reports, funding bodies, and regulators, where applicable.

2.4 Peer Review

- i. The University encourages researchers to act as peer reviewers for grant applications, journals, other forms of publications and ethical reviews.
- ii. Peer review must be carried out to the highest professional standards and in accordance with the guidelines of the organisation for which the work is being carried out. The confidentiality of materials being reviewed should be maintained at all times. The reviewer must not retain, copy or disseminate any material under review without the express permission of the organisation which requested the review. The reviewer must not make use (or allow others to make use) of the material under review without the express permission of the author(s).

2.5 Submitting Proposals

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

2.6 Purchasing and Expenditure for Research

Purchasing and expenditure of funds must take place in accordance with the terms and conditions of any grant or contract held for the research and the University's Financial Regulations. Advice on compliance with the Financial Regulations should be sought from the Director of Finance or the Head of Procurement and Contracts as appropriate.

2.7 Professional Standards

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

2.8 Leadership

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

2.9 Monitoring and Audit

- i. Research projects must comply with all applicable monitoring and audit requirements. Projects should be monitored and audited to ensure they are being carried out in accordance with good practice, legal and ethical requirements and any other guidelines.
- ii. Any requirements for monitoring and audit should be considered and identified at an early stage of proposal development.

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

2.10 Health and Safety

Researchers should ensure the dignity, rights, safety and wellbeing of all involved in research and avoid unreasonable risk or harm to research subjects, patients, participants, researchers and others. They should report and address any concerns relating to the dignity, rights, safety and wellbeing of those involved in research. Research should be initiated and continued only if the anticipated benefits justify the risks involved.

All research must be carried out in a manner that complies with the Health and Safety Regulations, policies and guidelines. Faculty and/or Departmental Safety policies and handbooks will detail local safety rules which must be obeyed. Advice on health and safety issues can be obtained from either the Faculty/Departmental Safety Advisers or the University Safety Office.

2.11 Training

Researchers must ensure that they have the necessary skills, training and resources to carry out research, in the proposed research team or through collaboration with specialists in relevant fields, and report and resolve any unmet needs identified

- The University is committed to supporting and developing researchers whether they want to expand their skill set or accelerate their career. The Learning and Development section of Staff Services details current opportunities.
- Post graduate researchers and early career researchers can also contact the Doctoral College which was designed to ensure that every member of the research community at Surrey has one, clear place to go, to get the support they need to achieve the best outcomes.
- Researchers must ensure they have the relevant skills and competencies to undertake their research.
- Researchers must undertake all mandatory training and inductions required by the University.
- Researchers must ensure they have the required training in their field and/or as required by funders, or regulators.

2.12 Research Data Management

- i. The University of Surrey recognises that effective management of research data is a vital part of good research practice, and that the outputs resulting from research are key assets which should be managed in a way that provides most benefit to the individual researcher and to the University while adhering to the requirements of stakeholders and research funders. Research data is

one such output. The University also recognises that sharing research data appropriately can contribute to the impact of research, increasing the visibility of research and improving the overall quality of research through reinforcing open enquiry.

- ii. Researchers are expected to familiarise themselves with the requirements of relevant University Policies on data handling, such as: Research Data Management Policy, Data Protection Policy, and Information Security Policy.

2.13 Publications

- i. Dissemination of knowledge is one of the objectives of the University.
- ii. A publication must report research and research findings accurately.
- iii. A publication must contain acknowledgement to all who have made a significant contribution to the relevant research, who are not authors.
- iv. Any person who has participated in a substantial way in conceiving, executing or interpreting a significant part of the relevant research should be given the opportunity to be included as an author of a publication derived from that research.
- v. Any person who has not participated in a substantial way in conceiving, executing or interpreting a significant part of the relevant research should not be included as an author of a publication derived from that research.

3 Ethical and Legal Requirements

- 3.1 Any special standards of work performance and ethical conduct imposed by law (UK or overseas), Research Councils, other funders of research, professional or statutory bodies or by the University in relation to particular categories of research are deemed to be included in this Code in its application to staff and students engaged in that research in the University. In addition, compliance with the University Ethics Committee's Ethics Handbook for Teaching and Research and the guidelines of other appropriate external Ethical Committees is also essential.
- 3.2 Experimentation on animals is strictly controlled by the Home Office and can only be conducted by licensees in accordance with the Animals (Scientific Procedures) Act of 1986 Amendment Regulations 2012. Applicants for project licenses must be approved by the Animal Welfare and Ethics Review Board and sanctioned by the Procedures Establishment Licence Holder.
- 3.3 Work conducted for, or on behalf of the UK Department of Health and/or the National Health Service (NHS) must comply with the relevant guidelines issued by the Department of Health and any other professional recognised bodies, e.g. The Department of Health's 'Research Governance Framework for Health and Social Care' and the National Research Ethics Service's

'Guidance for Applicants'. Clinical trials on medicinal products for human use must comply with the principles of Good Clinical (Research) Practice.

- 3.4 Work conducted on human tissue, must comply with the Human Tissue Act 2004. The HTA regulates activities concerning the removal, storage, use and disposal of human tissue.

4 Handling Allegations of Research Misconduct

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

5 Internal Resources

The University of Surrey is committed to guiding and supporting researchers and it provides resources, policies, and guidelines to do so. Researchers need to be aware of the following, which is indicative and is not intended to be exhaustive:

- The University Ethics Committee (UEC)
- Research and Innovation Services (RIS)
- The Research Integrity and Governance Office (RIGO)
- Doctoral College
- Animal Welfare and Ethical Review Body (AWERB)
- The University Ethics Policy
- HTA policies and SOPs
- Research Data Management Policy
- Library and Learning Support Services

6 External Codes

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

- Nolan Committee on Standards in Public Life;
- Research Councils UK and relevant documents and codes of individual research councils;
- Council for Science and Technology: Rigour, respect and responsibility: a universal ethical code for scientists;
- Department of Health; Governance arrangements for NHS Research Ethics Committees (GafREC);
- Health Research Authority and MHRA;
- Concordat to Support the Career Development of Researchers;
- UK Research Integrity Office;
- OECD Global Science Forum;
- The relevant professional societies and bodies (e.g. the British Psychological Society, General Medical Council, etc...);

- European Commission: Responsible Research and Innovation and Science With and For Society.

ACKNOWLEDGEMENTS:

The Codes and Statements referred to in Section 5 University of Sussex: Code of Practice for Research:

University of Kent at Canterbury: Good Practice and Misconduct in Academic Research: A Policy Document

Sheffield Hallam University: Research Ethics and Procedures University of Glasgow: Code of Good Practice in Research Imperial College of Science, Technology & Medicine

The British Psychological Society: Code of Conduct, Ethical Principles and Guidelines

Research Councils UK: RCUK Policy and Code of Conduct on the Governance of Research Conduct: INTEGRITY, CLARITY AND GOOD MANAGEMENT

UKRIO: Code of Practice for Research, Promoting good practice and preventing misconduct

UKRIO: Procedure for the Investigation of Misconduct in Research

OECD Global Science Forum: Investigating Research Misconduct allegations in International Collaborative Projects

Department of Health: Research Governance Framework for Health and Social Care'

National Research Ethics Service: 'Guidance for Applicants'

The Animals (Scientific Procedures) Act 1986 Amendment Regulations 2012

WMA Declaration of Helsinki – Ethical Principles for Medical Research Involving Human Subjects

Approved by Council: 19 July 2007

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Whole documents revised in line with 'the concordat to support research integrity'. 19 December 2017.