Code of Good Practice in Research

1   Statement

a) To realise its research strategy to pursue academic excellence, the University of London is committed to maintaining the highest standards of rigour and integrity in all aspects of academic research. The University regards it as fundamental that research must be conducted, and the results of research disseminated, honestly, accurately and in accordance with professional standards.

b) The University of London is committed to supporting a research environment that is underpinned by a culture of integrity and transparency, which promotes good practice for research and includes fair processes to deal with allegations of research misconduct should they arise.

c) This Code of Good Practice in Research represents the overarching research governance framework within which the University operates its research activities and is supplemented by additional and specific policies and procedures.

d) A key component of the Code of Good Practice in Research is the University's Policies and Procedures for investigating allegations of misconduct in academic research.[1]

e) The development of the Code of Good Practice in Research is the responsibility of the School of Advanced Study's Research Committee on behalf of the University of London, which may decide to develop additional guidance or policies as code of practices across the UK and the worldwide research landscape evolve.

2   Scope

a) This Code of Good Practice in Research applies to all staff, taught (with research components) and research students of the University and to those who are not members of the University but are conducting research under its auspices, such as Fellows and academic consultants (all categories hereafter referred to as 'researchers').

b) This Code of Good Practice in Research applies to all subject areas and is irrespective of how the research activities are funded.

c) Research refers to (as per definition used by Research Assessment Exercise (Research Assessment Exercise 2021):

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[1] Listed under Appendix;

- Research is defined as a process of investigation leading to new insights, effectively shared.
- It includes work of direct relevance to the needs of commerce, industry, and to the public and voluntary sectors; scholarship ; the invention and generation of ideas, images, performances, artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction. It excludes routine testing and routine analysis of materials, components and processes such as for the maintenance of national standards, as distinct from the development of new analytical techniques. It also excludes the development of teaching materials that do not embody original research.
- It includes research that is published, disseminated or made publicly available in the form of [sic] research outputs, and confidential reports.

d) The University of London is required by UK Research and Innovation, which brings together all UK Research Councils and Research England, and other major national and international funding bodies to have in place a code of good practice for the conduct of research, which they fund. This document specifies the Code of Good Practice for researchers of the University of London and provides guidance on the standards expected. It is informed by the 2018 Science and Technology Committee's report on Research Integrity[2], as well as the Universities-UK Concordat to Support Research Integrity[3], the UKRIO Code of Practice for Research[4], the Wellcome Trust[5], the ESRC framework for research ethics[6]. It also aims to comply with the RCUK Policy and Guidelines on Governance and Good Research Conduct[7], and the Concordat to Support the Career Development of Researchers[8].

e) This Code endorses the *Athena Swan Charter* principles.

3   Professional Standards

In the conduct of all research, the University of London expects the following general principles and standards to be understood and observed:

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[2] Science and Technology Committee, *Research Integrity*, Sixth report of session 2017-19. HC, 11 July 2018,
[3] Universities UK, The Concordat to Support Research Integrity (revised July 2019)
[4] https://ukrio.org/publications/code-of-practice-for-research/
[5] https://wellcome.ac.uk/funding/guidance/policy-bullying-and-harassment ; Good research practice guidelines
[6] https://esrc.ukri.org/files/funding/guidance-for-applicants/esrc-framework-for-research-ethics-2015/
[7] https://www.ukri.org/files/legacy/reviews/grc/rcuk-grp-policy-and-guidelines-updated-apr-17-2-pdf/
[8] https://www.ukri.org/about-us/policies-and-standards/research-integrity/

a) **Excellence:** The University and its researchers should strive for excellence when conducting research and aim to produce and disseminate work of the highest quality. This Code, its principles and its standards are intended to support these goals.

b) **Honesty**: The University and its researchers must work to create and maintain a culture of academic research that fosters and supports honesty in research. Researchers must be honest in relation to their own research and that of others, at all stages of the research process. They must do their utmost to ensure the accuracy of proposals, data and results, acknowledge the direct and indirect contributions of others, and neither engage in misconduct nor conceal it.

c) **Integrity**: The University and its researchers must comply with all legal and ethical requirements relevant to the area of research. They must declare any potential or actual conflicts of interest relating to research and where necessary take steps to resolve them.

d) **Accountability**:

- The University and its researchers should recognise that in and through their work they are ultimately accountable to the general public and their funders and must act accordingly. They must ensure that any research undertaken complies with any agreements or terms and conditions relating to their projects, and allows for proper governance and transparency.
- Any research projects can be subject to monitoring and audit by the University and/or external regulatory bodies and competent authorities, to ensure that it is carried out in accordance with good practice, and all legal and ethical requirements. Researchers are expected to fully co-operate with the relevant processes and any outcomes.

e) **Compliance**:

- The University is committed to ensure that all its policies are kept up-to-date to appropriately meet current national and international requirements.
- Researchers must be aware of the requirements regulating their work including all the policies and procedures, which form part of the University Research Integrity Framework.
- In addition, the University expects all researchers to observe the standards of research practice as set out by scientific and learned societies, and other relevant professional bodies. Researchers who are members of a regulated profession must follow the requirements and guidance of the body regulating their profession.

f) **Openness:**

- While recognizing the need to protect their own research interests, and those of the University, funders, and collaborators in the process of planning of research and obtaining their results, researchers should be as open as possible in discussing their research with other researchers and with the public.
- The University is committed to making research outputs openly accessible to other researchers and to the public to maximise the visibility of its research, with exceptions where ethical, legal, contractual or confidentiality restrictions prevail. All researchers are expected to be cognisant of and comply with the University's Open Access Policy.

g) **Ethical Practice:** The University aims to provide a competent, rigorous and independent process of ethical review, which is proportionate to the anticipated risks involved in a research project. Researchers must observe at all times the University's Research Ethics Policy, including considering all ethical and regulatory issues before any research work commences, and must ensure that they and members of their team act and conduct their research to the highest ethical standards.

h) **Equality, Diversity and Inclusion:** The University of London was founded upon the principles of equality, diversity and inclusion, as outlined in its Ordinance 21[9]. Those principles are embedded in all aspects of the University's operations, including undertaking or managing research projects. Researchers are asked to endorse those principles as well as observe at all times the University's Dignity and Respect Policy.

i) **Publication Practice:** Dissemination of knowledge is one of the objectives of the University and the University encourages the publication of the results of research in an appropriate form. All publications must report research and research findings accurately and principal authorship and other publication credit must accurately reflect the relative scientific or professional contribution of the individuals involved, regardless of their relative status.

j) **Managing research:** Effective and accurate management of research data and records constitutes a foundation of good research practice at the University. Researchers are expected to be fully cognisant of, and adhere to the University's Research Data Management Policy and must be mindful of relevant legislation, funding body policies, as well as their discipline specific best practice for the collection, use, retention and storage of research data.

k) **Training and Skills**: The University is committed to establishing and promoting a sound research climate of good research practice and is therefore committed to the provide training, resources and opportunities that allow researchers to conduct

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[9] https://london.ac.uk/sites/default/files/governance/Ordinance-21-Equality%2C-Diversity-and-Inclusion.pdf

research as well as develop, as outlined in the [UUK Concordat to Support the Career Development of Researchers](). Researchers should in turn ensure that they have the necessary skills, training and resources to carry out research, and report any needs that are not covered within the existing infrastructure. They should also be ready to participate in supporting each other including mentoring.

l) **Safety**:

- The University and the researchers must 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 must report and address any concerns without delay. Research must be initiated and continued only if the anticipated benefits justify the risks involved.
- The University must also ensure that they have a full range of insurance policies, which protect the University's assets and liabilities and extend to personal liabilities of all researchers undertaking authorised research on behalf of the University.

m) **Leadership**: Senior staff must contribute to the University's research environment in which the open exchange of research ideas is fostered. They must ensure that all researchers are aware of the requirements of this Code, and support them in their tasks.

4   Research Misconduct

Failure to comply with this Code may give rise to an allegation of misconduct. Researchers must be aware of the University's *policies and procedures for investigating and resolving allegations of misconduct in academic research*.

Researchers are also encouraged to report cases of suspected misconduct and to do so in a responsible and appropriate manner.

5   Named Point of Contact

The Dean of the School of Advanced Study & Pro Vice-Chancellor (Research) shall be the named point of contact to oversee matters of research integrity and will act as confidential liaison for persons wishing to raise concerns about any research conducted under the University's auspices.

Contact details of the current Dean of the School of Advanced Study & Pro Vice-Chancellor (Research) are available here: https://www.sas.ac.uk/about-us/administration/central-offices

6   Reviewing, Monitoring and Reporting

a) The University should have mechanisms in place to provide assurances that the procedures governing the integrity of research remain fit for purpose, especially in view of the speed of technological change.

b) This Code (including the policies on research misconduct) should be fully reviewed by the Research Committee on behalf of the University every 3 years. The Head of Management Information and Research Services, in collaboration with the Chair of the Research Committee and the Deputy Chief Executive of the School of Advanced Study, shall be monitoring the implementation of the Code annually and report to the Research Committee if necessary.

c) As per the Concordat to Support Research Integrity, the University will issue an annual statement to provide the following:

- a summary of actions and activities that have been undertaken to support and strengthen understanding and the application of research integrity issues (for example postgraduate and researcher training, or process reviews);
- a statement to provide assurance that the processes the institution has in place for dealing with allegations of misconduct are transparent, timely, robust and fair, and that they continue to be appropriate to the needs of the organisation;
- a high-level statement on any formal investigations of research misconduct that have been undertaken, which will include data on the number of investigations. If no formal investigation has been undertaken, this should also be noted;
- a statement on what the institution has learned from any formal investigations of research misconduct that have been undertaken, including what lessons have been learned to prevent the same type of incident re-occurring;
- a statement on how the institution creates and embeds a research environment in which all staff, researchers and students feel comfortable to report instances of misconduct.

The statement shall be reviewed by the Research Committee, and then recommended for approval to the School Board and the University Board of Trustees. Once approved, it shall be published on the University's website.

Appendix: University of London Relevant Policies and Guidance:
Framework for Research Governance and Sources of Guidance
- Policies and Procedures for investigating allegations of misconduct in academic research (Students, Staff, Fellows) [being revised]
- Research Integrity Statement
- Research Ethics Policy and Procedures
- Data Protection and Academic Research Policy

- Open Access Policy
- Research Data Management Policy [being revised]
- Social Media Policy [being revised]
- Procedures on Resarch Grant Applications and Contracts

Relevant [University Policies and Procedures](#)
- Ordinance 17 (Code of Student discipline)
- Ordinance 20 and HR policies including disciplinary procedure
- Ordinance 23 (Publlic Disclosure Policy)
- Financial Regulations
- Data Protection Policy
- Freedom of Information
- ICT Security and Use Policy
- Intellectual Property

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