

Code of Good Practice in Research

Revised version approved by the Research Committee November 2015

1 Introduction

The School of Advanced Study is required by the UK Research Councils and other major 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 at the School of Advanced Study at the University of London and provides guidance on the standards expected. It is informed by the ESRC 2010 framework for research ethics, the UKRIO Code of Practice for Research, and aims to comply with the 2011 Concordat to Support the Career Development of Researchers and the 2013 Concordat to Support Research Integrity.

2 Professional Standards

In the conduct of all research, the School of Advanced Study expects the following general principles and standards to be understood and observed. These apply to all School of Advanced Study staff, research students, and to those who are not members of the School, but who are conducting research under its auspices, such as Visiting Fellows (all categories hereafter referred to as 'researchers').

3 Integrity

3.1 All researchers are expected to be honest in respect of their own actions in research and in their responses to the actions of other researchers. This applies to the whole range of research, including generating and analysing data, publishing results, and acknowledging the direct and indirect contributions of colleagues.

3.2 Plagiarism, deception or the falsification or fabrication of results will be regarded as a serious disciplinary offence.

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

3.4 Researchers should declare any real or potential conflicts of interest before undertaking the research.

4 Openness

4.1 While recognizing the need for researchers to protect their own research interests, the School of Advanced Study encourages researchers to be as open as possible in discussing their research with other researchers and with the public.

4.2 Researchers should be prepared to question the outcome of their research and to check results before being made public.

4.3 Once results have been published, the School of Advanced Study expects researchers to make available relevant data and materials to other researchers, on request, provided that this is consistent with any ethics approvals and consents which cover the data and materials and any intellectual property rights in them.

4.4 Senior staff should ensure that a research climate of mutual co-operation is created in which all are encouraged to develop their skills and in which the open exchange of ideas is fostered.

5 Guidance from Professional Bodies

5.1 Where available, the School of Advanced Study expects researchers to observe the standards of research practice set out in guidelines published by scientific and learned societies, and other relevant professional bodies.

5.2 All researchers should be aware of the legal requirements which regulate their work.

6 Staff development and training and research supervision

6.1 The School shares with its researchers a responsibility to ensure they are equipped with up-to-date knowledge of the standards that apply to their work, including recognition of changing ethical, technical, legal and professional obligations. The School is therefore committed to providing up-to-date training for staff in the area of ethics.

6.2 All researchers should make sure they undertake other relevant and appropriate training, for example in research design, confidentiality, data management, record keeping, and data protection.

6.3 Appropriate supervision of researchers (including the training of supervisors) is an essential part of good research conduct.

6.4 This Code of conduct endorses the [Athena Swan Charter](#) principles. The School at the University of London promotes diversity and equality in all aspects of the recruitment and career management of researchers, which are covered by the [University of London Equal Opportunities Policy](#).

7 Documenting Results and Storing Primary Data

7.1 There should be clarity at the outset of the research programme as to the ownership of, where relevant:

- data used or created in the course of the research; and
- the results of the research.

7.2 Researchers should keep clear and accurate records of the procedures followed and the approvals granted during the research process. This is necessary both to demonstrate proper research practice, but also in case questions are subsequently asked about either the conduct of the research or the results obtained.

7.3 For similar reasons, primary data generated in the course of research must be kept securely in paper or electronic format, as appropriate and held normally for a period of five years (or as

required by the funding body) after the completion of a research project. Back-up records should always be kept for data stored on a computer.

7.4 As such, the School of Advanced Study requires researchers to comply with the requirements of the School's [research data management policy](#).

8 Ethical Practice

8.1 The School of Advanced Study requires researchers to comply with the requirements of both the School of Advanced Study's Ethics Policy and Procedures issued by School Research Ethics Committee.

8.2 Researchers should ensure the confidentiality of personal information relating to the participants in research, and that the research fulfils any legal requirements such as those of the Data Protection Acts.

9 Publication Practice

The School of Advanced Study encourages the publication of the results of research in an appropriate form. Principal authorship and other publication credit should accurately reflect the relative scientific or professional contribution of the individuals involved, regardless of their relative status.

10 Applications and Project Management

Researchers should take all reasonable measures to ensure:

- the accuracy and completeness of information contained in applications for funding, and
- if an application is successful, compliance with the terms and conditions specified by the funding body

11 Misconduct in Research

Failure to comply with this Code may give rise to an allegation of misconduct. See below for the policy and procedures for responding to allegations of misconduct in research.

12 Named Point of Contact

The Dean shall be the named point of contact to oversee matters of research integrity. The Dean will also be the named point of contact to act as confidential liaison for whistleblowers or other persons wishing to raise concerns about the integrity of research being conducted under the School's auspices (see below).

13 Collaborative Research

Where research is being conducted collaboratively, and particularly within interdisciplinary or international partnerships, there needs to be clear agreement on the standards and frameworks that will apply – for instance, by ensuring there is always an appropriate addendum to any collaboration agreement.

14 Reviewing, Monitoring and Reporting

14.1 There should be 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.

14.2 This Code (including the annex below on research misconduct) should be fully reviewed by the Research Committee every 3 years. In addition, the Code should be reviewed annually by a small panel comprising the School's SAS Space Manager and the University's Records Manager, with a remit to ensure that the sections on open access, research data management and information security (etc) remain fit for purpose, and advise of necessary changes.

14.3 The School should provide a short annual statement to the School Board, which should be published on the web, which provides

- Summary of actions and activities taken to support and strengthen research integrity (eg training);
- Assurances that processes in place for dealing with allegations of misconduct are transparent, 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.

15 Raising awareness

Institute Directors must ensure that all researchers are aware of the requirements of this Code and have procedures in place for checking that they do so.

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