

Group Research Conduct & Ethics Policy

Defines roles and responsibilities and minimum standards for reporting and control in line with the Board of Governors' risk appetite.

6 November 2019

Document management

Document Properties

Document location	
Document scope	This document applies group wide and should be adopted by all operating companies (excluding approved exempted companies as per the exemption register).
Document Owner	Academic Board
Accountable executive	DVC Research
Responsible senior manager	Associate Pro-Vice Chancellor (Research)
Policy review frequency	Annually
Policy last approval date	6/11/19
Policy next review date	6/11/20

Authorisation

Version	Role	Name	Signature	Date
1.0	Group Registrar and Chief Governance Officer	Kate Quantrell	Kate Quantrell	6/11/19

1 Introduction

1.1 Purpose

The purpose of this policy is to set out the principles and mandated standards in relation to the management of research conduct and ethics risks to Coventry University Higher Education Corporation and its subsidiaries, whether trading or non-trading, (“**the Group**”). This policy describes the organisational, technological and procedural measures for ensuring that research is conducted ethically thus maintaining our reputation and integrity for research activities.

This policy applies to all fields of research and emphasises responsibilities and accountabilities, which complement existing Group documentation in a manner that is consistent with existing external guidelines, legislation and regulation.

The Group recognises that the processes and procedures that it has in place need to be robust and take account of the changing nature of concerns relating to research integrity and the emergence of new types of research. This policy will therefore be annually reviewed to ensure it remains fit for purpose.

1.2 Business context

The Group is committed to undertaking research activities through which it enhances the reputation of the Group as a Higher Education services provider. The Group expects all researchers to conduct research ethically. Research is undertaken by, but not limited to, staff and postgraduate researchers based in Research Centres; and by undergraduate and postgraduate students as part of their teaching and learning experience. Research may be undertaken collaboratively with third parties based either in the UK or internationally. Research is funded privately and through public funds. Funding is dependent on terms and conditions being met including terms and conditions relating to conduct.

Through its Research Centres, the Group is known for delivering research that makes a significant contribution to a number of global challenges focusing on a range of real-world issues:

- Intelligent products and processes: - harnessing the latest science and technology to pioneer new and more intelligent ways of doing things;
- Health and wellbeing: - geared towards preserving and improving society’s physical and mental wellbeing.
- Creative cultures:- design, innovation and styling exploiting digital environments for opening up new opportunities for cultural institutions.
- Sustainability and resilience: - critical conservation work to preserve environment, communities and by engaging with citizens, with businesses and with technology.
- Safety and Security: - protecting the security and freedoms of citizens and of those most in need in society – whether they are here in the UK or overseas.
- Education: - adopting novel and innovative solutions to enhance student learning outcomes and experience.

Some of the research undertaken by the Group includes sensitive topics. In addition some of the research involves human or animal participants or uses human material or human data.

It is increasingly recognised that poor research practice, fraud and other forms of research misconduct can cause significant harm: they can damage the reputation of UK research nationally and internationally; they can represent a breach of trust with the public, which supports research through charities, other funding bodies and taxes. Misconduct and poor practice can also cause considerable financial and reputational harm to research institutions, damage the environment,

jeopardise research funds, and most importantly, put researchers, research participants and the public at risk of actual harm.

Misconduct in research is defined, in accordance with the UK Research Integrity Office (UKRIO) definition, as including, but not limited to:

- a) Fabrication;
- b) Falsification;
- c) Misrepresentation of data and/or interests and/or involvement;
- d) Plagiarism; and
- e) Failures to follow accepted procedures or to exercise due care in carrying out responsibilities for:
 - i. avoiding unreasonable risk or harm to:
 - humans;
 - animals used in research; and
 - the environment; and
 - ii. the proper handling of privileged or private information on individuals collected during the research.

1.3 Regulatory context

In the United Kingdom research activity is overseen by the United Kingdom Research and Innovation corporate body (UKRI). **UK Research and Innovation** is a body which works in partnership with universities, research organisations, businesses, charities, and government to create the best possible environment for research and innovation to flourish. UKRI works with many partners to benefit everyone through knowledge, talent and ideas.

The role of the UKRI includes the facilitation and support of (i) research into science, technology, humanities and new ideas; (ii) development and exploitation of science, technology, new ideas and advancements in humanities; (iii) knowledge exchange in relation to science, technology, humanities and new ideas; (iv) collection and dissemination of knowledge in, and in connection with, science, technology, humanities and new ideas. The UKRI promotes an awareness and understanding of science, technology, humanities and new ideas and provides advice on any matter relating to any of its functions. Powers include provision of financial support for research and innovation projects.

Research is governed by a range of ethical, legal, and professional frameworks obligations and standards. These include for example: The Universities UK Concordat on Research Integrity and the UK Research Integrity Office; the General Data Protection Regulation (GDPR); and the Animals (Scientific Procedures) Act, 1986 (ASPA).

There are no statute laws about research on human beings in the UK. The law therefore relies heavily on people to protect themselves by their personal (or parental) consent or refusal. No law compels researchers to observe ethics guidelines on consent. However, compliance with ethical standards can frequently be included in terms and conditions of funding arrangements. Key ethical standards are shown in the table below.

Guidance	Description
Code of practice for research (2009) (UKRIO)	The aim is to encourage good conduct in research and help prevent misconduct in order to assist organisations and researchers to conduct research of the highest quality. It provides general principles and standards for good practice in research.

Concordat to support research integrity (Universities UK)	Provides a comprehensive national framework for good research conduct and its governance.
Charter of fundamental rights of the EU (European Parliament)	The Charter of Fundamental Rights of the European Union enshrines certain political, social, and economic rights for European Union citizens and residents into EU law.
Convention for the protection of human rights and fundamental freedoms (Council of Europe)	The "European Convention on Human Rights" sets forth a number of fundamental rights and freedoms (right to life, prohibition of torture, prohibition of slavery and forced labour, right to liberty and security, right to a fair trial, no punishment without law, right to respect for private and family life, freedom of thought, conscience and religion, freedom of expression, freedom of assembly and association, right to marry, right to an effective remedy, prohibition of discrimination).
Humans Rights Act 1998	The Human Rights Act 1998 is an Act of Parliament of the United Kingdom, which received Royal Assent on 9 November 1998, and mostly came into force on 2 October 2000. Its aim was to incorporate into UK law the rights contained in the European Convention on Human Rights.
Generic ethics principles for social science research (Academy of Social Sciences)	Guidance from working groups on ethical practices providing discussion points and summary of discussion.
Procedure for investigation of misconduct in research (UKRIO)	The document provides organisations with a protocol for the investigation of allegations of misconduct in research that is thorough and fair to all parties
Health and Safety at Work Act 1974	The Act places responsibility on those who create risks to the health and safety of people, which includes researchers and participants who may be affected research activities. It requires duty holders to do everything 'reasonably practicable' to protect people from harm.
Concordat on openness in animal research	The Concordat on Openness is a set of commitments for UK-based life science organisations to enhance their animal research communications.
UK Policy Framework for Health and Social Care Research	This policy framework sets out principles of good practice in the management and conduct of health and social care research in the UK. The principles protect and promote the interests of patients, service users and the public in health and social care research, by describing ethical conduct and proportionate, assurance-based management of health and social care research, so as to support and facilitate high-quality research in the UK that has the confidence of patients, service users and the public.

1.4 Scope of policy

This policy applies to Coventry University Group and all its subsidiaries, whether trading or non-trading. Subsidiary companies, not undertaking research activities, may apply for exemption from this policy by contacting the central governance team.

All individuals conducting research on the Group's behalf or as part of their teaching and learning experience are expected to comply with this policy.

2 Strategy

2.1 Key objectives

The Group recognises that the development of a mature research base is crucial to the achievement and maintenance of global significance as a Higher Education provider. The Group has a duty to ensure that the research it is engaged in, is carried out to the highest standards of scientific and ethical practice, whilst paying due attention to equality, diversity and inclusion considerations. Scientific and ethical standards help members of the discipline to coordinate their actions or activities and to establish the public's trust of the discipline. The Group has a mission to protect the rights, safety, dignity and well-being of research participants, research staff and students, and to facilitate and promote ethical research that is of potential benefit to participants, science and society. The Group is committed to ensuring that the following research ethics objectives are achieved:

- To ensure that any research activity undertaken by staff or students meets the highest standards and is compliant with the code of practice issued by the UKRIO and the UK Concordat on Research Integrity;
- To ensure that risks relating to sensitive projects which may have a profound impact on the environment, communities or individuals are proportionately controlled without exposing individuals, or the environment, to unnecessary risk;
- To ensure that projects involving animals, humans, human material or human data are only permitted when there is no alternative research technique and the expected benefits outweigh any possible adverse effects.

2.2 Risk Appetite

The Group considers the ethical integrity of its research to be imperative and will not approve any research which could foreseeably cause harm either during the research process or through its eventual outcomes unless there is no alternative research technique or the expected benefits outweigh any possible adverse effects. Research wherever it takes place, must be conducted according to the highest standards of rigour and integrity.

The Group requires all research to be carried out without: (i) fabrication; (ii) falsification; (iii) misrepresentation of data and/ or interests and/or involvement; (iv) plagiarism; (v) failures to follow accepted procedures or exercise due care when carrying out responsibilities for avoiding unreasonable risk or harm to humans, animals and the environment; and (vi) failures to follow accepted procedures or exercise due care when carrying out responsibilities for the proper handling of personal data on individuals collected during research.

2.3 Principles

The Group has established the following principles for the management of ethical research projects:

1. **Culture:** - The Group will maintain a research environment that develops good research practice and nurtures a culture of research integrity. The Group will ensure that all individuals conducting research on the Group's behalf understand the expected standards, values and behaviour and will defend them in all circumstances.
2. **Honesty:** - The Group works to create a culture of honesty in research. Staff and students and other researchers working on behalf of the Group should do their utmost to ensure the accuracy of data and results, acknowledge the contribution of others and neither engage in misconduct nor support it.

3. **Rigour:** - The Group and individuals undertaking research on the Group's behalf must adhere to agreed protocols where appropriate, in drawing interpretations and conclusions from the research and in communicating the results.
4. **Integrity:** - The Group and individuals undertaking research on its behalf (staff, students or third parties) must comply with all legal and ethical requirements relevant to their fields of study. They should declare any potential or actual conflicts of interest relating to research and where necessary take steps to resolve them.
5. **Co-operation:**- The Group and individuals undertaking research on its behalf should promote the open exchange of ideas, research methods, data and results and their discussion, scrutiny and debate, subject to any considerations of confidentiality.
6. **Accountability:** - The Group and individuals undertaking research on its behalf should recognise that in and through their work they are accountable to the general public and should act accordingly. They should ensure that any research undertaken complies with terms and conditions relating to the project and allows for proper governance and transparency. Researchers who are members of a regulated profession must follow the requirements and guidance of the body regulating their profession.
7. **Transparency and open communication:** - The Group and individuals undertaking research on the Group's behalf should declare conflicts of interest. The Group recognises the need for open and transparent communication in the reporting of research data collection methods, the analysis and interpretation of data, in making research findings widely available, in sharing negative results as appropriate and in presenting work to the wider public.
8. **Training and skills:** - the Group and individuals directing or supervising research on its behalf should provide training and opportunities for development for researchers and the necessary resources to enable them to conduct research to the required standards. Researchers should 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 urgent needs identified.
9. **Care, respect and safety:** - The Group and its researchers should ensure that 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 dignity, rights, safety and well-being of those involved in research. Research should only be initiated and continued if the anticipated benefits justify the risks involved.

3 Governance

The Board of Governors is ultimately responsible for the determination of the educational character and mission of the Group and for oversight of its activities.

The Academic Affairs Committee (**AAC**), established by the Board of Governors provides assurance regarding the quality and standards of research provision. In particular it monitors the implementation of research strategy against key performance indicators and by the receipt of annual reports.

The Academic Board (**AB**), subject to the overall responsibility of the Board of Governors and to the responsibilities of the Vice-Chancellor, ensures that research aligns with the Group’s strategic plans approved by the Board of Governors. In particular it: - (i) keeps under review the development of the research activities of the University, including the resources to support them and advises the Vice-Chancellor and Board of Governors thereon; (ii) determines Group policy for the development of research in line with the University’s Research Strategy approved by the Board of Governors; and (iii) considers reports and recommendations referred from the Research Committee, Vice-Chancellor and Board of Governors as appropriate.

The Academic Board delegates the authority for approval of research activity to the Group’s Research Committee (University Research Committee - **URC**). URC is responsible for ensuring that any research undertaken on the Group’s behalf is within the Group’s defined appetite levels. It ensures that principles or conduct are adhered to during the delivery of a research project. The URC has established various subcommittees including a University Ethics committee to support it in its duties.

The figure below summarises governance arrangements providing assurance for academic collaborations.



4 Roles and Responsibilities

4.1 Overview

Conducting research ethically is a collective responsibility. Ethical conduct enables mature, constructive and collaborative ethical deliberation, mutual learning and shared action aimed at maximising benefit and minimising harm, as well as compliance with widely accepted standards.

4.2 Line one responsibilities

The Vice-Chancellor (**VC**), with the support of his executive team, is responsible to the Board of Governors for implementing the approved business strategy and the risk appetite. Operationally, in terms of research provision, the VC is responsible for making proposals to the Academic Board regarding the research strategy. The VC has allocated accountability for the educational character of the university to the Provost.

The Deputy Vice-Chancellor for Research (**DVC Research**) has been allocated accountability by the Provost for the provision and ongoing achievement of research excellence. In particular the Deputy Vice-Chancellor Research is accountable for: (i) drafting a research strategy for consideration by the Provost and the VC; and (ii) ensuring that appropriate internal control arrangements are designed and implemented so that research activity is managed within the Group's risk appetite.

The DVC Research has delegated the responsibility for the development of appropriate research ethics and conduct policy, standards and procedures to the Associate Pro-Vice Chancellor Research (**APVC Research**). The APVC has overall oversight of research integrity and acts as a first point of contact for anyone wanting more information on matters of research integrity. The APVC Research, with the support of Ethic Leads, is responsible for the provision of guidance to staff ensuring appropriate compliance to the conduct policy. The APVC Research works alongside Associate Deans for Research to implement ethical approval for projects. Associate Deans for Research, with the support of senior managers in their faculties, are responsible for the ethical review of research proposals and approval according to the defined approval procedure.

The Director of Research Services (**DoRS**) has been delegated responsibility by the DVC Research for overseeing conduct of research projects during delivery and ensuring that conduct meets the terms and conditions of research funding.

The Director of the Doctoral College and Centre of Research Capability and Development has been delegated responsibility by the DVC Research to provide research ethics training, and ensuring that staff and postgraduate researchers alike are aware of research conduct and ethics arrangements.

The Executive Directors of the University Research Centres and the Academic Deans of Faculty are responsible for ensuring this policy and related standards and procedures are implemented within their respective units. They should ensure that adequate guidance in respect of research ethics and conduct is provided to undergraduate and postgraduate students and their supervisors.

The day-to-day responsibility for the control of research conduct risks is delegated to academic staff conducting or supervising research. All individuals conducting research activity on behalf of the Group are responsible for compliance with this policy.

4.3 Line two responsibilities

The Chief Governance Officer, with the support of their team, is responsible for: (i) providing guidance and challenge in respect of the adequacy of the research conduct policy and (ii) providing the infrastructure for monitoring compliance with the research conduct policy.

4.4 Line three responsibilities

The Internal Audit Function is responsible for providing independent assurance of the adequacy of internal control in relation to research conduct.

5 Minimum control standards

5.1 Research Terms and Conditions

Ref	Title	Description	Owner
RC01	Research contracts and agreements	Contracts or agreements relating to research activity should outline clear terms and conditions for the research activity. This includes an articulation of ethical requirements, funding terms, intellectual property ownership and use (this includes research findings, ideas, processes, software, hardware, apparatus and equipment, substances and materials, artistic and literary works, academic and scientific publications).	Group Director of Legal Services

5.2 Research Design

Ref	Title	Description	Owner
RC02	Regulatory and legal requirements identification	When conducting, or collaborating in research, researchers should comply with legal and ethical requirements existing within the UK and in other countries where the research is conducted. Similarly 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 their own country. Researchers should identify all legal, regulatory and professional requirements that are applicable to their research.	Associate Pro-Vice-Chancellor (Research)
RC03	Research design	When designing the proposed research projects the researcher should ensure that the proposed approach addresses the pertinent question and is designed either to add to existing knowledge or to develop methods for research into it. The design of the project should address the most important sources of bias. The design should set out how data will be gathered, analysed and managed. The design should consider resourcing requirements including considerations of skills and experience and collaborative parties. The design should consider mechanisms for obtaining the explicit and affirmative informed consent of any research participants.	Executive Directors of University Research Centres or Associate Deans Research
RC04	Resource planning	Any resource requirements should be established as part of the research design process. Actions should be defined to address any shortfalls in resourcing.	Executive Directors of University Research Centres or Associate

			Deans Research
RC05	Researcher training needs analysis	Researchers should identify specific training requirements and supervisory requirements for delivery of a research project and ensure that they have the necessary skills and experience to undertake the research activity. Taught student researchers should do this in consultation with their supervisors.	Director of Doctoral College & Centre for Research Capability and Development

5.3 Research Risk Identification and Assessment

Ref	Title	Description	Owner
RC06	Participant risk assessment procedure	Researchers should identify risks to human and animal participants as a consequence of the research project. This should include an assessment of physical and psychological factors. Appropriate care should be taken when research projects involve vulnerable groups such as the very old, children, or those with mental illness, or with covert studies that do not involve full disclosure to participants. The dignity rights, safety and well-being of participants must be the primary consideration in any research study.	Associate Pro-Vice-Chancellor (Research)
RC07	Health and safety risk assessment procedure	Researchers should undertake a health and safety assessment prior to a research project being initiated. Mitigations should be established to address all significant health and safety risks and ensure that all health and safety legislative requirements are met. It should be born in mind that certain types of research, for example social research in a conflict zone, can present particular issues of health and safety.	Group Health and Safety Manager
RC08	Data protection impact assessment procedure	Researchers should undertake a data protection impact assessment prior to a research project being initiated. Mitigations should be established to address all significant data protection risks, including in relation to data storage. The confidentiality and security of personal data relating to human participants or human material should be assured.	Group Data Protection Officer
RC09	Conflicts of interest identification procedure	Researchers should identify and disclose any potential, apparent or actual conflicts of interest that might cause bias in results or conclusion analysis. An assessment should be made of the severity of the conflict of interest in compromising the validity of the results. Mitigations should be established to address all significant conflicts of interest.	Group Director of People

RC010	Protocol on sensitive topic risk assessment	Researchers should identify and assess the risks due to the sensitivity of the research topic. They should try to anticipate any risks of misuse of the results or conclusions of the research. They should seek appropriate support and advice to define proportionate mitigations. Mitigations should consider publication controls. Where there are risks that the proposed research or its results may be misused for purposes that are illegal or harmful those risks should be addressed through appropriate publication controls.	Associate Pro-Vice-Chancellor (Research)
RC11	Intellectual property risk assessment procedure	Researchers should identify and assess the risks to intellectual property used within the proposed project and define proportionate mitigations including confidentiality agreements.	Executive Directors of University Research Centres or Associate Deans Research

5.4 Research Proposal Review, Approval and Change Control

Ref	Title	Description	Owner
RC12	Ethics review procedure	All staff and students and PG researchers are required to obtain ethical approval for all/any research. Ethics submissions should be made for every appropriate research proposal. Researchers must submit research proposals for ethics review and abiding by the outcome of the review.	Associate Pro-Vice-Chancellor (Research) through Academic Deans of Faculties and Executive Directors of University Research Centres
RC13	Insurance arrangements review	Researchers should ensure that they have sufficient arrangements for insurance and indemnity.	Academic Deans of Faculties (delegated to Associate Deans for Research) and Executive Directors of University Research Centres

RC14	Compliance review	A review should be undertaken to ensure that the proposal meets with all legal, regulatory or professional requirements.	Associate Pro-Vice-Chancellor (Research) through Academic Deans of Faculties (delegated to Associate Deans for Research) and Executive Directors of University Research Centres
RC15	Terms and conditions review	Researchers should ensure that the design of the project meets with the established funding terms and conditions.	Associate Deans for Research and Executive Directors of University Research Centres
RC16	Research project approval	Research project proposals, together with the ethics submission should be submitted for approval by the relevant Ethics Committee (either University or Faculty-level). University Ethics Committee has delegated authority from URC to approve research projects from an ethics perspective. Projects must only be approved if risks have been appropriately mitigated and the anticipated benefits justify the risks involved. Research proposals should be approved by all applicable bodies, ethical regulatory or otherwise.	Associate Pro-Vice-Chancellor (Research) through Associate Deans for Research and Executive Directors of University Research Centres

5.5 Delivery of Research Projects

Ref	Title	Description	Owner
RC17	Research change control	Any alterations to a project post approval are subject to appropriate review by the relevant ethics committee to ensure that they will not compromise the ethics of the project or breach the terms and conditions of the project.	Director of Research Services (funded projects) Associate Pro-Vice-Chancellor (Research)

			(unfunded projects)
RC18	Participant informed consent procedure and collection procedures	Mechanisms for the gathering of data in relation to participant informed consent should be implemented. This consent should be obtained according to predefined mechanisms. These should be observed for all projects involving human participants or using human material or data. The mechanism should have due regard to the needs and capacity of the participants involved. Participants should be provided with adequate information in an appropriate form that would enable informed consent.	Director of Research Services (funded projects) Associate Pro-Vice-Chancellor (Research) (unfunded projects)
RC19	Data privacy notices	Researchers should inform participants that data gathered during the course of research may be disseminated not only in a report but also in different forms for academic or other subsequent publications and meetings, albeit not in an identifiable form, unless previously agreed to, and subject to limitations imposed by legislation or any applicable bodies, ethical, regulatory or otherwise.	Director of Research Services (funded projects) Associate Pro-Vice-Chancellor (Research) (unfunded projects)
RC20	Data management mechanisms	Data management procedures should be implemented in the delivery of the project to ensure that confidentiality and security of personal data relating to human participants or human material. This should include analysis of data, storage of data, publication of data and deletion of data. Data retention periods should be defined and data should be deleted according to retention limits (which should normally be for the legally specified period or three years if unspecified). Mechanisms should ensure data is stored and managed according to defined arrangements within the terms and conditions of the research project and relevant legal requirements.	Director of Research Services (funded projects) Associate Pro-Vice-Chancellor (Research) (unfunded projects)
RC21	Health and Safety Mechanisms	Health and safety mechanisms should be implemented to ensure that all research that involves potentially hazardous or harmful material or might cause harm to the environment complies with all the legal requirements and other applicable guidelines.	Group Health and Safety Manager and Sustainability Manager
RC22	Terms and conditions compliance monitoring	Researchers should ensure that the terms and conditions of any grant or contract related to the research are adhered to.	Director of Research Services

RC23	Whistleblowing procedure	If researchers consider that human participants in research are subject to unreasonable risk or harm, then they must report their concerns to their manager, or other appropriate person according to the whistleblowing procedure. Similarly, concerns relating to the improper and/ or unlicensed use and storage of human material or the improper storage of personal data should be reported. Similarly, concerns relating to animals being exposed to unreasonable risk or harm must be escalated. Where required, issues should be escalated to the appropriate regulatory, legislative or professional body.	Group Registrar and Secretary
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5.6 Publication

Ref	Title	Description	Owner
RC24	Peer review	Researchers should submit their research for appropriate review and abide by the outcome of that review. Researchers should be encouraged to act as peer reviewers for meetings, journals and other publications, grant applications. Peer review should be undertaken in an objective manner and confidentiality should be maintained.	Associate Deans for Research and Executive Directors of University Research Centres
RC25	Accreditation mechanisms	Accreditation mechanisms should be established to ensure contributing parties are accredited appropriately. Decisions on publication and authorship should be jointly agreed and communicated to all members of the research team. Authorship should be restricted to those contributors who have made a significant intellectual or practical contribution to the work. No person who fulfils the criteria for authorship should be excluded from the submitted work. Authorship should not be allocated to honorary or "guest" authors". Contributors and sources should be listed by researchers. All funders and sponsors of research should be acknowledged and any competing interests listed.	Associate Deans for Research and Executive Directors of University Research Centres
RC26	Publication mechanisms	Researchers have a duty to publish the findings of all clinical research involving human participants and to promote public access to information about any research and research findings affecting health and social welfare. Mechanisms should be in place to ensure that research findings are not published in a manner that invalidates commercial property rights. Any delay in	Associate Deans for Research and Executive Directors of University Research Centres

publishing should be kept to a minimum. Publication should comply with terms and conditions as outlined in funding terms. Publication standards should be established to guide when the Group will waive its copyright. Any intellectual property issues should be raised as soon as possible and addressed accordingly.

5.7 Auditing

Ref	Title	Description	Owner
RC27	Periodic Research Audits	Research projects should be monitored and audited to ensure they are being carried out according to good practice and legal and ethical requirements adopting a risk-based approach. Researchers should ensure that research projects comply with any monitoring and audit requirements. Researchers should cooperate with any monitoring and audit of finances in respect of research projects and report any concerns or irregularities as soon as possible.	Director of Research Services

5.8 Training and Awareness

Ref	Title	Description	Owner
RC28	Researcher ethics and conduct training	All researchers should be aware of research policies and procedures. Training should be provided to all persons undertaking research activity on behalf of the Group. Training and development opportunities should be provided to researchers to enable them to conduct research to the required standards including research ethics and integrity. This should include training in the responsible design, conduct and dissemination of research.	Director of Doctoral College & Centre for Research Capability and Development
RC29	Researcher development	The Group will provide the training requirement for researchers to enable them to carry out their duties and develop knowledge and skills throughout their career.	Director of Doctoral College & Centre for Research Capability and Development
RC30	Ethical guidance	All researchers should raise queries and concerns regarding conduct and ethics with ethical leads who should provide guidance and advice on appropriate redress. The Executive Directors of research promote	Chair of the Ethics Committee through Executive

		compliance with the ethics and conduct standards.	Directors of Research
RC31	Development of Research Supervisors	Research supervisors are appointed who establish clear lines of accountability for the organisation and management of research projects. Research supervisors should provide direction of research projects and should promote and foster an environment which supports research of the highest ethical standards. Supervision should encourage mutual cooperation, professionalism and the open and honest exchange of ideas. Research supervisors should oversee research projects and ensure that researchers are aware of the ethical and conduct requirements. Adequate training should be provided to research supervisors. Particular supervision support should be provided for student researchers.	Director of Doctoral College & Centre for Research Capability and Development
RC32	Researcher mentoring	Qualified mentors are provided to assist in the training and career development of new researchers, and to give career development and educational opportunities for researchers who are more established in their careers.	Group Director of Organisation Development
RC33	Online Research Ethics Training	Online training will be provided to all staff in relation to arrangements for the management of research ethics and conduct.	Director of Doctoral College & Centre for Research Capability and Development
RC34	Staff Inductions	The induction process for new staff will refer to the arrangements for ethical research practices.	Group Director of Organisation Development

5.9 Management of Ethical Misconduct

Ref	Title	Description	Owner
RC35	Student research ethical misconduct management and investigation mechanisms	Mechanisms should exist for the investigation of allegations of misconduct in research by undergraduate and postgraduate students. Investigations should be conducted in a fair and timely manner. Serious cases of misconduct should be referred to the regulatory or professional bodies.	Group Registrar and Secretary
RC36	Staff research ethical misconduct management and investigation mechanisms	Mechanisms should exist for the investigation of allegations of staff misconduct in research. Investigations should be conducted in a fair and timely manner. Serious cases of misconduct should be referred to the regulatory or professional bodies. Appropriate steps should be undertaken to restore the reputation of any researchers who are found not to have committed misconduct.	Associate Pro-Vice Chancellor (Research)

6 Information and Communication

6.1 Internal Reports

Report Title	Report Description	Audience	Frequency	Report Owner
Internal control report	Report providing information on the adequacy of research conduct and ethics controls including incident trend analysis, issues and risk and control self-assessments, and key metrics. This should provide: - i) a high level statement of any formal investigations of research misconduct that have been undertaken; (ii) assurance that the processes in place for dealing with allegations of misconduct are transparent, robust and fair and continue to be appropriate for the Group; and (iii) a summary of the actions and activities that have been undertaken to support and strengthen understanding and application of research integrity issues.	Academic Board Academic Affairs Committee Research Committee	Annual	Associate Pro-Vice Chancellor (Research)

6.2 External Disclosures

Report Title	Report Description	Audience	Frequency	Report Owner
Annual Research Ethics Report	An annual report which: (i) provides a high level statement of any formal investigations of research misconduct that have been undertaken; (ii) provides assurance that the processes in place for dealing with allegations of misconduct are transparent, robust and fair and continue to be appropriate for the Group; and (iii) provides a summary of the actions and activities that have been undertaken to support and strengthen understanding and application of research integrity issues.	Public	Annual	Associate Pro-Vice Chancellor (Research)

7 Related Documentation

Principles and Standards of Conduct on the Governance of Research

Mobility Policy

Health and Safety Policy