

University of Brighton

Policy on Research Integrity

1 Introduction and scope

The University of Brighton aims to ensure quality and integrity in the planning, conduct and management of research, in reporting and disseminating the results, and in the delivery and reporting of research impact. Research integrity not only supports the development of rigorous, high quality research, but can also provide other benefits, such as the fostering of a culture where openness and honesty encourage researchers to learn from their experiences and make improvements. Similarly poor or unacceptable research practices can cause harm to participants or have negative consequences in terms of the reputation of the University and its researchers. The University is therefore committed to developing an environment that promotes research integrity, and a culture that embraces the values set out below.

This policy is relevant to all fields and disciplines of research conducted under the auspices of the University. It applies to all types of research including internally-funded research, non-funded research and research undertaken by students, and covers related areas such as consultancy, knowledge exchange and transfer and professional practice. The policy applies to all members of the University involved in research, including academic staff, research managers and administrators, research support staff, postgraduate and undergraduate students and their supervisors, as well as to visiting staff, consultants or others using University of Brighton facilities or premises.

2 Principles and values

The principles below set out the core values that apply to all areas of research. Researchers and those involved in the management or support of research are expected to be guided by these principles and are encouraged to consider their work in the context of these values.

Rigour and excellence: researchers should strive for excellence in undertaking their research, and should design, conduct and disseminate their research to rigorous standards, in order to produce work of the highest quality.

Honesty, transparency and openness: researchers should be honest in all aspects of their research and that of others, including ensuring accuracy of data and results, drawing interpretations and conclusions from their findings, and using and acknowledging the work of other researchers. Researchers should be open in declaring any potential conflicts of interest, and should be transparent in the communication and reporting of the methods, analysis and results of their research.

Care, respect and safety: Researchers should show care and respect for all participants in research, and should ensure that their dignity, rights, safety and well-being are maintained. Researchers should avoid unreasonable risk of harm to themselves and other participants and subjects of research including humans, animals, the environment and cultural objects.

3 Standards

3.1 Compliance with external frameworks

Research is governed by a range of external legal, ethical and professional frameworks and codes of practice that set out standards and requirements to which research must conform and with which organisations and researchers must comply. Failure to do so could result in the committing of a criminal offence or could lead to sanctions being imposed by funders, and could also lead to negative consequences in terms of the reputation of the University and/or individual researchers. The University is committed to compliance with relevant external frameworks including the Concordat to support research integrity and other frameworks referred to in section 7 of this Policy. Researchers and those involved in the management and support of research should ensure that they comply with all guidelines that apply to their research, including those of funders and professional associations, and that they have sought and obtained any necessary approval that is required to undertake the research.

3.2 Roles, responsibilities, leadership and supervision

The Pro-Vice-Chancellor (Research and Enterprise) is the senior member of staff within the University with overall responsibility for the area of research integrity. It is also the responsibility of all senior research staff to foster the culture of honesty and integrity that allows research to be conducted in accordance with good research practice. Heads of Schools, Deputy Heads (Research & Enterprise) and Directors of Research and Development have responsibility for promoting research integrity within their School or College, and ensuring that staff are provided with induction and training in this area.

These individuals should seek to create a research environment of mutual co-operation, in which all members of the research community are encouraged to develop their skills and in which the open exchange of research ideas is fostered. It is the responsibility of senior academic staff and research managers to ensure awareness of and adherence to guidelines, standards and principles for research in their disciplines, and to raise awareness of research integrity and develop and promote a culture of best practice. They must also ensure that appropriate direction of research and supervision of researchers and research students is provided, so that they are aware of their responsibilities. Principal Investigators and supervisors should ensure that research staff or students under their supervision have the appropriate expertise, time and resources to undertake their research effectively.

3.3 Induction, training, mentoring and development of staff

The University requires all researchers to undertake induction and training in areas such as research design, regulatory and ethic approvals and consents, health and safety, use of equipment, confidentiality, data management, record keeping, publication and other appropriate topics relevant to their field of research. On joining the University all staff and students should undergo an induction which includes being made aware of this Policy and other policies and guidance relating to research. Supervisors should ensure that students understand good research practice and have received appropriate training in relevant aspects of research. Head of School are accountable for ensuring that researchers have received appropriate support for development in their research careers, including induction, training and mentoring. Researchers should continue to identify needs for training in order to develop their knowledge and keep skills up to date throughout their career.

4 Planning and Management of Research

4.1 Research design

Research should be designed so as to ensure that:

- it is worthwhile, addresses relevant question(s), does not duplicate existing work unnecessarily, and adds to or develops existing knowledge or methods.
- the aims of the research are clear, the design of the study is appropriate and it is methodologically sound
- the design and conduct of the research are set out in a research plan or protocol
- roles and responsibilities of those to be involved in the research have been agreed and documented

With some types of research it may be appropriate to involve users or members of the public in the design and planning of the research.

4.2 Resources

Researchers and those involved in managing and supporting the research should ensure that adequate resources of an appropriate standard are in place to support their research. This includes making sure that the necessary space, facilities and research environment are available, as well as checking that the research team have the relevant skills and experience to carry out the research. Costings should be prepared in accordance with the University's Financial Regulations and funders' financial guidelines and to ensure that any purchasing or procurement are in line with these. Researchers should ensure that all potential costs to the project are included, but also that resources are used efficiently and economically. Where possible, resources should be managed sustainably in order to minimise harmful impact to the environment.

4.3 Review of research proposals

Research proposals should be checked (by the relevant supervisor in the case of students' research) to ensure that they are complete, accurate, well written and presented, and that they are in line with any guidelines set out by funders or reviewing bodies, as well as the University's internal policies and guidance. It is good practice for proposals to undergo thorough and objective peer review prior to submission to ensure high standards. All proposals for external research funding should go through the University's bid authorisation process via the Pre-Award team in the Research Office, to ensure that they are of high quality, have been appropriately costed and are in line with funders' guidelines.

4.4 Risk assessment, health and safety and ethical issues

All planned research should be assessed to determine whether there are any potential risks to the health, safety and well-being of researchers or other participants in the research, to the research itself or to the organisation. Before research takes place, a risk assessment should be undertaken to ensure that health and safety issues have been fully considered, and that the research fulfils health and safety legislation and conforms to good practice.

All research projects involving human participants, human tissue or material, or personal data or property are subject to ethical review, to ensure that the dignity, rights, wellbeing and safety of research participants are considered, and that any risks to participants have been identified and appropriately addressed. The University has a three-tier ethics review system in place, which is

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outlined in the University's Research Ethics Policy, and researchers should ensure that they familiarise themselves with this policy and seek an appropriate level of ethical review for their research project.

4.5 Human participant and animal research

Research involving human participants, their tissue or bodily materials, or access to their personal data or property is subject to the University's Research Ethics Policy, which sets out the principles underpinning research ethics and the University's ethics review framework. Researchers and those involved in the planning and management of research should ensure that they comply with the requirements set out in the Research Ethics Policy as well as other legal and ethical requirements and applicable guidelines. The dignity, rights, safety and well-being of participants should be the primary consideration in any research study.

Researchers and those involved in the planning and management of research should ensure that appropriate procedures for obtaining informed consent from participants are established, and that consideration is given to confidentiality and security of personal data and material. The University has a Guidance on issues in research ethics that covers a range of ethical issues including informed consent, covert research, vulnerable participants, risks to participants and researchers, data storage and confidentiality.

Research involving animals is covered by a separate Policy statement on the use of animals in scientific procedures. Researchers and those involved in the planning and management of research should ensure that research involving animals adheres to all legal and ethical requirements and other applicable guidelines and is reviewed by the University Animal Welfare & Ethics Review Board (AWERB)

4.6 External approvals

In some cases, (for example where research is taking place in NHS, prison or local authority settings), approvals from the organisations where the study is taking place may be required in order to undertake the research. Researchers should ensure that all necessary checks and approvals have been obtained before commencing the research. These might include Disclosure and Barring Service (DBS) checks, Independent Safeguarding Authority (ISA) clearance and governance approvals from statutory bodies or other organisations in which the research is being carried out, or regulatory approvals for specific materials and activities (eg biological, chemical or radiological agents).

4.7 Collaborative working and management of research

Principal Investigators and others involved in the management of research projects should take all reasonable measures to ensure compliance with sponsor, institutional, legal, financial, ethical, environmental and moral standards, procedures and requirements in managing research projects. Particular attention should be paid to projects which include participants from different countries or where work will be carried out abroad, due to additional legal and ethical requirements or guidelines which may apply. The Montreal Statement on Research Integrity in Cross-Boundary Research Collaborations sets out responsibilities of individual and institutional partners in cross-boundary research collaborations.

Researchers and others involved in the management and support of research projects should ensure that appropriate contractual and other arrangements are in place to support effective communication with collaborators, funders, stakeholders, research users and research participants,

and they should work with partner organisations to ensure that standards and procedures for the conduct of the research, including roles, responsibilities and arrangements relating to intellectual property, authorship and regulatory licensing are agreed and documented.

4.8 Sensitive areas of research and conflict of interest

Some research may fall outside the University's framework for ethical review, but may nevertheless have the potential to raise issues relating to research integrity. Such research might include politically or socially sensitive research, research involving partners or participants with a controversial record, or whose interests might impede impartiality of the research or present a conflict of interest. Some research in sensitive areas could have the potential to present a risk to the researchers themselves, and researchers should ensure that they comply with the policy and process for the registration of research projects that involve access to and/or storage of sensitive research material.

There may be occasions where there is potential for a conflict of interest between two or more parties, whether of a legal, ethical, moral, financial, personal or other nature. Conflicts of interest should be identified and declared, so that where possible, measures can be taken to address and resolve any differences which arise in order to avoid poor practice or potential misconduct. Where conflict of interest is of a type and severity that is not possible to resolve, as it poses a risk of compromising the validity or integrity of the research, it may be necessary to take a decision not to proceed with the research. Funded collaborative research is subject to a due diligence investigation as part of the bid submission process, in order to confirm that proposed partner institutions are compatible with the University's strategy, mission and policies.

4.9 Collection, recording and retention of data

Researchers should comply with legal, ethical, funding body and institutional requirements for the collection, use and storage of data, including the University's Data Protection Policy and Research Data Management Policy. Data should be collected and recorded consistently and accurately, and throughout their work, researchers should keep full, clear records of the research methodologies employed and the results obtained, including the raw data. This is necessary not only as a means of demonstrating proper research practice, but also in case questions are subsequently asked about either the conduct of the research or the results obtained. For similar reasons, data generated in the course of research must be kept securely in paper or electronic form, as appropriate. Personal data must be held in accordance with the Data Protection Act, and should be anonymised where possible or kept confidential. Researchers should consider at an early stage how and in what form data might be made available to others.

Data should be retained for an appropriate length of time after the end of the research project depending on the requirements of funders or other organisations associated with the research and in light of the development of data protection legislation. Researchers and others involved in the management of research projects should ensure that they are aware of any requirement for sharing and re-use of data. For funded research or research which will be published, or for which it is known that the data is likely to be reused, this would normally be ten years, but it could be necessary to retain it for longer. For student research it is up to Schools to decide an appropriate retention period for data. Heads of School, line managers and supervisors should ensure that appropriate arrangements are in place for the retention of data in cases where staff or students leave the University. Once data is no longer required it should be disposed of sensitively and securely.

4.10 Record keeping, reporting, monitoring and audit

Researchers and others involved in the management and support of research should ensure that projects comply with any requirements of funders or other bodies for record keeping, reporting, monitoring and audit, as well as with the University's Post-Award processes. Appropriate records and documentation should be kept for all research projects, including claim forms, timesheets, receipts and invoices where relevant. Research students and supervisors should keep records of supervisory meetings and discussions. Budgets should be monitored to ensure that funds are being spent appropriately, and researchers should make sure that sufficient training, resources, information and support are in place for any monitoring or audits which may be required by funders or other organisations.

5 Publication and dissemination

5.1 Reporting and disseminating research results

It is usually a condition of research funding that the results are publicly disseminated in an appropriate form, and researchers and those involved in management and support of research should check funders' requirements regarding open access of research outputs. Outputs may include refereed journal articles, books or book chapters, conference papers or reports, or other forms of research outcome such as exhibitions, artefacts, digital media, products or performances. Researchers should ensure that results are disseminated to funders, collaborators, research users and other stakeholders where relevant, in a manner which reports the research and its findings accurately. Researchers have a particular duty to publish the findings of all clinical research involving human participants. Researchers should seek advice from the University if put under pressure to suppress or change data, results or conclusions. All research outputs should be put on Converis in line with the University's Open Access Policy. Researchers are encouraged to seek mentoring and support for producing outputs in order to ensure that outputs entering the public domain meet high standards of rigour and integrity. It is good practice to make results available to anyone who has participated in the research in a form which is easily understandable to them, and the University would normally expect researchers to do so.

5.2 Authorship, acknowledgement and intellectual property

The issue of authorship, including taking public responsibility for published work, is important in the context of good research practice. Researchers should ensure that issues relating to publication and authorship are addressed at an early stage of the design of a project, and should recognise that, subject to legal and ethical requirements, roles and contributions may change during the time span of the research. The University expects anyone listed as an author on a paper or other medium of research dissemination to accept personal responsibility for ensuring that they are familiar with the contents of the paper, and that they can identify their contributions to it. Authorship should be restricted to those who have made a significant contribution to the work. Decisions on authorship and contributions, including sequencing of authors on publications should be agreed jointly and communicated to all members of the research team.

Contributors who do not meet the criteria for authorship, including formal collaborators, funders and all others who directly or indirectly assist or support the research must be clearly and appropriately acknowledged. This applies to any circumstances in which statements about the research are made, including provision of information about the nature and process of the research, and in publishing the outcome. Conversely, collaborators and other contributors carry their share of the responsibility for the research and its outcome. Authors should ensure that all sources are

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acknowledged, relevant permissions for use of material sought, and related work is correctly cited. Researchers should be aware that submitting research reports to more than one potential publisher at any given time or publishing findings in more than one publication without acknowledgement is unacceptable.

Researchers and those involved in the management or support of research should ensure that any contracts or agreements relating to research include provision for ownership and use of intellectual property, and that they comply with the policy and procedures set out in the University's IPR Code of Practice. Students and their supervisors should ensure that they are aware of the arrangements for ownership of intellectual property that apply to the level at which they are studying.

5.3 Reporting of research impact

Researchers and other involved in the documentation and dissemination of research impact should ensure integrity in the description of impact, the research that has underpinned it and any evidence, sources or references used to support or corroborate it, and should ensure that any potential conflict of interest associated with the reporting and evidencing of impact is identified and declared.

6 Research misconduct and fraud

The University takes seriously any allegation of research misconduct and has a written procedure for investigating and resolving such allegations. Any member of the University who believes that an act of research misconduct has occurred or is occurring should notify the Head of the appropriate School. If, for any reason, this is not possible or appropriate, the individual should contact the relevant Dean of College.

Research misconduct includes, but is not limited to:

- Fabrication or falsification of data, consents, records, references, results or other research-related documentation; image manipulation; deliberate suppression or destruction of data, including intentionally misleading or deliberately false reporting of research information;
- Unacknowledged appropriation of the work of others, including plagiarism, piracy and false attribution of contributions to the research;
- Misrepresentation of interests, qualifications, experience or involvement (such as inappropriate claims to authorship/attribution or denial of authorship/acknowledgement);
- Misappropriation or mismanagement of data, results, physical materials, finances or other resources, including failure to keep records and hold them securely, or make data available to others;
- The facilitating of misconduct in research by collusion with, or concealment of, misconduct by others;
- Conduct which deviates from accepted ethical standards in research, including failure to gain ethical approval, lack of informed consent, coercion, bribery or abuse of research participants, breach of confidentiality or improper handling of privileged or private information on individuals collected during the research;
- Failure to declare conflicts of interest;
- Failure to follow accepted procedures or to exercise due care in carrying out responsibilities for avoiding unreasonable risk or harm to humans, animals or the environment;
- Improper dealing with allegations of misconduct.

Accepted procedures would normally include, but are not limited to:

- Gaining informed consent from research participants;
- Gaining formal approval from relevant organisations where required;

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- Any protocols for research set out by the University, or contained in the guidelines of, or contracts or agreements with, partner organisations, funding bodies, sponsors, or appropriate recognised professional, academic, scientific, governmental, national and international bodies;
- Any existing guidance on good practice in research

The investigation of allegations should aim to establish intentional and/or reckless behaviour in committing the misconduct. Differences of interpretation or judgement, or honest error, do not constitute research misconduct.

7 References

- The Concordat to support research integrity (2012) <http://www.universitiesuk.ac.uk/policy-and-analysis/reports/Documents/2012/the-concordat-to-support-research-integrity.pdf>
- UKRIO Code of Practice for Research www.ukrio.org/what-we-do/code-of-practice-for-research
- UKRIO misconduct procedure <http://ukrio.org/wp-content/uploads/UKRIO-Procedure-for-the-Investigation-of-Misconduct-in-Research.pdf>
- UKRIO Checklist for researchers <http://ukrio.org/publications/checklist-for-researchers/>
- Research Councils UK (RCUK) Policy and Guidelines on Governance of Good Research Conduct (2013) www.rcuk.ac.uk/publications/researchers/grc
- European Science Foundation (2011). European code of Conduct for Research Integrity www.esf.org/fileadmin/Public_documents/Publications/Code_Conduct_ResearchIntegrity.pdf
- Science Europe Briefing Paper on research integrity http://www.scienceeurope.org/uploads/PublicDocumentsAndSpeeches/Briefing_Paper_Research_Integrity_web.pdf
- Montreal Statement on Research Integrity in Cross-Boundary Research Collaborations <http://www.researchintegrity.org/Statements/Montreal%20Statement%20English.pdf>
- Singapore Statement on Research Integrity <http://www.singaporestatement.org/>
- Draft Department of Health UK Policy framework <http://www.hra.nhs.uk/documents/2015/02/uk-policy-framework-health-social-care-research-v-1-0-feb-2015.pdf>
- COPE guidance http://publicationethics.org/files/Research_institutions_guidelines_final.pdf
- University of Brighton Research Ethics Policy <https://staff.brighton.ac.uk/ease/ro/docs/Research%20Ethics%20Policy%20final.pdf>
- University of Brighton Policy statement on the use of animals in scientific procedures https://www.brighton.ac.uk/_pdf/research/resource-docs/use-of-animal-in-scientific-procedures.pdf
- University of Brighton Guidance on issues in research ethics <https://staff.brighton.ac.uk/ease/ro/docs/Guidance%20on%20issues%20in%20research%20ethics.pdf>
- University of Brighton Procedures for investigating and resolving allegations of misconduct in research <https://staff.brighton.ac.uk/ease/ro/docs/Procedures%20for%20investigating%20and%20resolving%20allegations%20of%20misconduct%20in%20research.pdf>
- University of Brighton Whistleblowing Policy
- Responsible Research <http://staffcentral.brighton.ac.uk/safety/codes/copfiles/Managing%20Health%20and%20Safety%20in%20Research.pdf>