

Code of Practice for Research at the University of Greenwich

1. Introduction

- 1.1. The University of Greenwich recognises its responsibility to researchers and the wider community to ensure the highest standards of integrity and professionalism are observed in the conduct of research. This Code of Practice provides guiding principles and standards of good practice in research across all subject disciplines and fields of study in the university. It applies to all those undertaking research on the university's premises using its facilities, or on behalf of the University, including staff, visiting or emeritus staff, associates, honorary or clinical contract holders, contractors and consultants¹.
- 1.2. It is essential that all members of staff in the university adhere to the highest standards of practice in research and scholarship for the integrity of research, and in particular those with a specific responsibility as research leaders, to observe and promote these principles irrespective of their sources of funding or their area of research. The aim is to set standards that enhance research quality, integrity, compliance and that safeguard the public in line with the requirements of the *Concordat to Support Research Integrity*².
- 1.3. This Code of Practice, which should be read in conjunction with other university policies, frameworks and guidance (links available at relevant footnotes throughout this document, and listed at Annex A), draws on a number of sources of guidance and good practice available to the research sector in the UK and internationally³.
- 1.4. Failure to comply with the Code of Practice, its supporting policies, or any actions that may be deemed to constitute research misconduct, under the university's *Procedures for the Investigation of Research Misconduct*, may be grounds for instigating disciplinary proceedings.
- 1.5. This Code of Practice covers the following elements, highlighting the expectations and responsibilities of individual researchers and where appropriate the organisation (through its governance structures, policies, and/or professional services):
 - [Principles and Values of Good Research Conduct](#)
 - [General Guidance on Good Practice in Research](#)
 - [Leadership and supervision](#)
 - [Training and mentoring](#)
 - [Research design](#)
 - [Collaborative working](#)
 - [Conflicts of interest](#)
 - [Research involving human participants, human material or personal data](#)
 - [Research involving animals](#)
 - [Health and safety](#)
 - [Intellectual property](#)
 - [Finance](#)
 - [Collection and retention of data](#)
 - [Monitoring and audit](#)
 - [Peer review](#)
 - [Publication and authorship](#)
 - [Misconduct in research](#)

¹ Regulations and codes of conduct for Postgraduate Researchers are covered separately in the Academic Regulations for Postgraduate Research Awards, https://docs.gre.ac.uk/_data/assets/pdf_file/0009/1524969/academic-regulations-research-awards-Sep-17.pdf

² <http://www.universitiesuk.ac.uk/policy-and-analysis/reports/Pages/research-concordat.aspx>

³ UKRIO Code of Practice for Research: Promoting good practice and preventing misconduct (2009), <http://www.ukrio.org/what-we-do/code-of-practice-for-research>

RCUK Policy and Guidelines on Governance of Good Research Conduct (2013), <http://www.rcuk.ac.uk/Publications/researchers/grc>

2. Principles of Good Research Conduct

- 2.1.** The University of Greenwich and its researchers should adhere to the following principles, which set out the responsibilities and values relevant to research. While some elements may seem self evident, and there is some overlap, these principles aim to encourage all involved in research to consider the wider consequences of their work and to engage critically with the practical, ethical and intellectual challenges that are inherent in the conduct of high quality research, rather than treating this Codes of Practice as just another procedure to be followed.
- 2.2.** The University of Greenwich and its researchers are expected to be guided by these principles when implementing and complying with the standards described in Section 3.
- 2.2.1. EXCELLENCE** – The University of Greenwich and its researchers will strive for excellence when conducting research and aim to produce and disseminate work of the highest quality. This Code of Practice, its Principles and its Standards are intended to support these goals.
- 2.2.2. HONESTY** – The University of Greenwich will work to create and maintain a culture of research that fosters and supports honesty in research. Researchers should be honest in relation to their own research and that of others. They should do their utmost to ensure the accuracy of data and results, acknowledge the contributions of others, and neither engage in misconduct nor conceal it.
- 2.2.3. INTEGRITY** – The University of Greenwich and its researchers must comply with all legal and ethical requirements relevant to their field of study. Researchers should declare any potential or actual conflicts of interest relating to research and where necessary take steps to resolve them.
- 2.2.4. COOPERATION** – The University of Greenwich and its researchers will promote the open exchange of ideas, research methods, data and results and their discussion, scrutiny and debate, subject to any considerations of confidentiality.
- 2.2.5. ACCOUNTABILITY** – The University of Greenwich and its researchers will recognise that in and through our work, we are ultimately accountable to the general public and should act accordingly. We will ensure that any research undertaken complies with any agreements, terms and conditions relating to the project, and allows for proper governance and transparency. Researchers should follow the requirements and guidance of any professional bodies in their field of research. Researchers who are members of a regulated profession must follow the requirements and guidance of the body regulating their profession.
- 2.2.6. TRAINING AND SKILLS** – The University of Greenwich will provide training and opportunities for development for our researchers, and the necessary resources to enable them to conduct research to the required standards. The university will support researchers in identifying unmet needs for training and development. 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 unmet needs identified.
- 2.2.7. SAFETY** – The University of Greenwich and its researchers will 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. The university and researchers will report and address any concerns relating to the dignity, rights, safety and wellbeing of those involved in research. Research should be initiated and continued only if the anticipated benefits justify the risks involved.

3. General guidance on good practice in research

- 3.1.** Researchers must comply with all legal and ethical requirements and other guidelines that apply to their research. This includes submitting research proposals for ethics review where appropriate and abiding by the outcome of that review. They must ensure that research projects are approved by all applicable bodies, ethical, regulatory or otherwise.

3.2. When conducting, or collaborating, in research in other countries, researchers based in the UK should comply with the legal and ethical requirements existing in the UK and in the countries where the research is conducted. Similarly, researchers based abroad who participate in UK hosted research projects should comply with the legal and ethical requirements existing in the UK as well as those of their own country.

3.3. The University of Greenwich and its researchers should ensure that all research projects have sufficient arrangements for insurance and indemnity prior to the research being conducted.

3.4. The University of Greenwich will:

3.4.1. ensure that good practice in research forms an integral part of the university's research strategy;

3.4.2. establish clear policies and procedures that cover the Principles of good practice in research (see section 2) and offer detailed guidance on the Standards set out in this Code of Practice;

3.4.3. ensure that these policies and procedures complement and are in accordance with existing organisational policies, such as those for health and safety, raising concerns at work, management of finances or of intellectual property⁴, and equality and diversity⁵;

3.4.4. make sure that their researchers are aware of these policies and procedures and that all research carried out under the auspices of the University of Greenwich complies with them;

3.4.5. provide training, resources and support to university researchers to ensure that they are aware of these policies and procedures and are able to comply with them;

3.4.6. encourage university researchers to consider good practice in research as a routine part of their work; and

3.4.7. monitor these measures for suitability and effectiveness and review them where necessary.

3.4.8. Prepare an annual statement to Court that: provides a summary of actions and activities that have been undertaken to support and strengthen understanding and application of research integrity issues (for example postgraduate and researcher training, or process reviews); provides assurances that the processes the university has 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 university; provides a high-level statement on any formal investigations of research misconduct that have been undertaken; and that this statement should be made publicly available.

3.5. Researchers will:

3.5.1. recognise their responsibility to conduct research of high ethical standards;

3.5.2. be aware of the university's policies and procedures on good practice in research;

3.5.3. make sure that their research complies with these policies and procedures, and seek guidance from the university when necessary;

3.5.4. work with the university to ensure that they have the necessary training, resources and support to carry out their research; and

3.5.5. suggest to the university how guidance on good practice in research might be developed or revised.

3.6. Leadership and supervision

⁴ Intellectual Property Policy, http://www.gre.ac.uk/governance/policy/ip/policy?_ga=1.247214529.457332134.1460365556

⁵ Equality and Diversity Policy Statement, http://www.gre.ac.uk/offices/hr/edi?_ga=1.212021841.457332134.1460365556

- 3.6.1. The University of Greenwich and its researchers will promote and maintain an environment which fosters and supports research of high ethical standards, mutual co-operation, professionalism and the open and honest exchange of ideas. The university will foster a culture where good conduct in research is promoted and inappropriate conduct is identified and addressed.
- 3.6.2. The University of Greenwich will provide direction and supervision of research and researchers, setting out clear lines of accountability for the organisation and management of research. Research Integrity & Governance will be led by the university's Research & Enterprise Committee⁶, chaired by the Deputy Vice Chancellor (Research & Enterprise). Additionally, the university has identified the Director of Research & Enterprise (GRE) to oversee research integrity at the university, and is the first point of contact for anyone wanting more information on matters of research integrity.
- 3.6.3. The University of Greenwich will support supervisors and researchers in meeting the legal and ethical requirements of conducting research. The university will encourage the career development of our researchers⁷ and provide training and mentoring of new researchers⁸. The university will also offer training and support to those charged with the supervision and development of other researchers⁹. The university will support the principles of the *Concordat to Support the Career Development of Researchers*.
- 3.6.4. Researchers involved in the supervision and development of other researchers should be aware of their responsibilities and ensure that they have the necessary training, time and resources to carry out that role, and request support if required.

3.7. Training and mentoring

- 3.7.1. The University of Greenwich will provide training for its researchers, to enable them to carry out their duties and develop their knowledge and skills throughout their career. This will include training in the responsible design, conduct and dissemination of research. The university will support researchers in identifying unmet needs for training and development. The university will provide qualified mentors¹⁰ to assist in the training and career development of new researchers and also provide career development and educational opportunities¹¹ for researchers who are more established in their careers.
- 3.7.2. The University of Greenwich will provide particular support for research students¹². The university will make sure that research students understand which standards and organisational policies and procedures they are expected to comply with¹³.
- 3.7.3. Researchers will undergo training in order to carry out their duties and to develop their knowledge and skills throughout their career, repeating training where necessary to ensure that skills are kept up-to-date. Researchers should identify needs for training when they arise and report them to their manager or other appropriate person as identified by the university.

3.8. Research design

- 3.8.1. When designing research projects, the University of Greenwich and its researchers will ensure that:

⁶ Research & Enterprise Committee, <http://www.gre.ac.uk/offices/academic-council/membership/ent>

⁷ Researcher Development Framework, <http://www.gre.ac.uk/research/intranet/research-services/rdf/RDF-Domains>
Career Pathways for Academic Staff, <http://www.gre.ac.uk/offices/hr/staffdev/career-pathways-for-academic-staff>

⁸ Early Career Researcher Network, <http://www.gre.ac.uk/research/intranet/research-services/rdf/ecr>

⁹ Services and Support for Research Supervisors, <http://www2.gre.ac.uk/staff/offices/osa/pgro/supervisors>
Research Supervisor Training, <http://www2.gre.ac.uk/staff/offices/osa/pgro/pgr-supervisor-training>

¹⁰ Coaching Network, <http://www.gre.ac.uk/offices/hr/staffdev/coaching-network>

¹¹ Outside Insight Work Shadowing Scheme, <http://www.gre.ac.uk/offices/hr/staffdev/work-shadowing>

¹² Support and Training for Research Students, <http://www2.gre.ac.uk/current-students/postgrad-research>

¹³ Academic Regulations for Postgraduate Research Awards, http://www2.gre.ac.uk/_data/assets/pdf_file/0012/637599/Academic-Regulations-PG-Research-Awards-Feb-2017.pdf

Postgraduate Research Students and Supervisors Handbook,

http://www2.gre.ac.uk/_data/assets/pdf_file/0003/1406631/Research_Students_Supervisors_Handbook_080217.pdf

- a) the proposed research addresses pertinent question(s) and is designed either to add to existing knowledge about the subject in question or to develop methods for research into it;
- b) the design of the study is appropriate for the question(s) being asked and addresses the most important potential sources of bias;
- c) the design and conduct of the study, including how data will be gathered, analysed and managed, are set out in detail in a pre-specified research plan or protocol;
- d) all necessary skills and experience will be available to carry out the proposed research, in the proposed research team or through collaboration with specialists in relevant fields;
- e) sufficient resources will be available to carry out the proposed research and that these resources meet all relevant standards; and
- f) any issues relating to the above are resolved as far as possible prior to the start of the research.

3.8.2. The University of Greenwich (where appropriate) and its researchers should conduct a risk assessment¹⁴ of the planned study to determine:

- a) whether there are any ethical issues and whether ethics review¹⁵ is required;
- b) the potential for risks¹⁶ to the university, the research, or the health, safety and wellbeing¹⁷ of researchers and research participants; and
- c) what legal requirements govern the research.

3.8.3. Where the design of a study has been approved by ethics, regulatory or peer review, the university and its researchers will ensure that any subsequent alterations to the design are subject to appropriate review to determine that they will not compromise the integrity of the research or any terms of consent previously given.

3.8.4. The University of Greenwich will have systems to ensure that when there are risks that proposed research or its results may be misused for purposes that are illegal or harmful, those risks are identified and addressed. They should make these systems known to researchers and provide guidance and support to researchers on projects where such risks are identified.

3.8.5. Researchers should try to anticipate any risks that the proposed research might produce results that could be misused for purposes that are illegal or harmful. Researchers should report any risks to, and seek guidance from, the appropriate person(s) in the university and take action to minimise those risks.

3.8.6. Researchers should be prepared to make research designs available to peer reviewers and journal editors when submitting research reports for publication.

3.9. Collaborative working

3.9.1. The University of Greenwich and its researchers will pay particular attention to projects which include participants from different countries or where work will be carried out in another country due to the additional legal and ethical requirements and other guidelines that may apply.

¹⁴ Risk Management Guide, http://www.gre.ac.uk/_data/assets/pdf_file/0007/1219462/Risk-Management-Guide-May-2016.pdf?_ga=1.253885133.457332134.1460365556

¹⁵ Research Ethics Policy, <http://www2.gre.ac.uk/research/rec/rep>
Guidance on Ethical Approval for Research, http://www2.gre.ac.uk/research/ethics/guidance-on-ethical-approval-for-research?_ga=1.175773159.457332134.1460365556

¹⁶ Risk Management Policy, http://www2.gre.ac.uk/research/ethics/guidance-on-ethical-approval-for-research?_ga=1.175773159.457332134.1460365556

¹⁷ Health & Safety Policy, http://www.gre.ac.uk/_data/assets/pdf_file/0017/106451/UoGHealth-and-Safety-Policy-2016-Review-statement-of-intent-signed.pdf?_ga=1.222911198.457332134.1460365556

- 3.9.2. The University of Greenwich will work with partner organisations to ensure the agreement of, and compliance with, common standards and procedures for the conduct of collaborative research, including the resolution of any issues or problems that might arise and the investigation of any allegations of misconduct in research if they occur.
- 3.9.3. Researchers should be aware of the standards and procedures for the conduct of research followed by any organisations involved in collaborative research that they are undertaking. They should also be aware of any contractual requirements involving partner organisations, seeking guidance and assistance where necessary and reporting any concerns or irregularities to the appropriate person(s) as soon as they become aware of them.
- 3.9.4. Researchers will try to anticipate any issues that might arise as a result of working collaboratively and agree jointly in advance how they might be addressed, communicating any decisions to all members of the research team. In particular, agreement should be sought on the specific roles of the researchers involved in the project and on issues relating to intellectual property, publication, and the attribution of authorship, recognising that, subject to legal and ethical requirements, roles and contributions may change during the time span of the research. Researchers are advised to contact IP and Commercial Services (GRE) to discuss any agreements that need to be put in place.

3.10. Conflicts of interest

- 3.10.1. The University of Greenwich and its researchers must recognise that conflicts of interest (i.e. personal or institutional considerations¹⁸, including but not limited to financial matters) can inappropriately affect research. Conflicts of interest must be identified, declared and addressed in order to avoid poor practice in research or potential misconduct.
- 3.10.2. When addressing a conflict of interest, it must be decided whether it is of a type and severity that poses a risk of fatally compromising the validity or integrity of the research, in which case researchers and the university should not proceed with the research, or whether it can be adequately addressed through declarations and/or special safeguards relating to the conduct and reporting of the research.
- 3.10.3. The University of Greenwich has a policy for addressing conflicts of interest, including guidance for researchers on how to identify, declare and address conflicts of interest, and will disseminate and explain the policy to researchers. The university will ensure that researchers understand the importance of recognising, disclosing and addressing conflicts of interest in the conduct and reporting of research.
- 3.10.4. The University of Greenwich will comply with the requirements of the policy for addressing conflicts of interest, as well as any external requirements relating to conflicts of interest, such as those of funding bodies. Senior staff must be aware of potential or actual conflicts of interest at the institutional level and disclose them when they arise so that they can be addressed.
- 3.10.5. Researchers must comply with the university's policy for addressing conflicts of interest, as well as any external requirements relating to conflicts of interest, such as those of funding bodies. This should include declaring any potential or actual conflicts of interest relating to their research to: their manager or other appropriate person as identified by the university; any ethics committee which reviews their research; and when reporting their findings at meetings or in publications. Conflicts of interest should be disclosed as soon as researchers become aware of them.
- 3.10.6. Researchers should agree to abide by any direction given by their organisation or any relevant ethics committee in relation to a conflict of interest.

3.11. Research involving human participants, human material or personal data

¹⁸ Financial Procedures and Regulations, <http://www.gre.ac.uk/offices/finance/regs>
Anti-Bribery Policy, http://www.gre.ac.uk/_data/assets/pdf_file/0004/659119/Anti-Bribery-Policy-May-2015.pdf

- 3.11.1. The University of Greenwich and its researchers must make sure that any research involving human participants, human material or personal data complies with all legal and ethical requirements and other applicable guidelines. Appropriate care should be taken when research projects involve: vulnerable groups, such as the very old, children or those with mental illness; and covert studies or other forms of research which do not involve full disclosure to participants. The dignity, rights, safety and wellbeing of participants must be the primary consideration in any research study. Research should be initiated and continued only if the anticipated benefits justify the risks involved.
- 3.11.2. When conducting, or collaborating in, research in other countries, researchers based in the UK should comply with the legal and ethical requirements existing in the UK and in the countries where the research is conducted. Similarly, organisations and researchers based abroad who participate in UK hosted research projects should comply with the legal and ethical requirements existing in the UK as well as those of their own country.
- 3.11.3. The University of Greenwich and its researchers must ensure the confidentiality and security of: personal data relating to human participants in research; and human material involved in research projects.
- 3.11.4. The University of Greenwich and its researchers working with, for, or under the auspices of, any of the UK Departments of Health and/or the National Health Service must adhere to all relevant guidelines, for example the Department of Health's Research Governance Framework for Health and Social Care and the National Research Ethics Service's Guidance for Applicants. The University of Greenwich and its researchers involved in clinical trials on medicinal products for human use should comply with the principles of Good Clinical (Research) Practice.
- 3.11.5. The University of Greenwich has systems to ensure appropriate ethical, regulatory and peer review of research projects involving human participants, human material or personal data. The systems include mechanisms to ensure that such research projects have been approved by all applicable bodies, ethical, regulatory or otherwise.
- 3.11.6. The University of Greenwich has systems to ensure that appropriate procedures for obtaining informed consent are established and observed in projects involving human participants, having particular regard to the needs and capacity of the subjects involved.
- 3.11.7. The University of Greenwich has systems and policies in place to ensure the confidentiality and security of: personal data relating to human participants in research; and human material involved in research projects.
- 3.11.8. The University of Greenwich will ensure that our researchers are aware of all of the above systems and have access to all relevant guidance and legal and ethical frameworks.
- 3.11.9. Researchers will submit research projects involving human participants, human material or personal data for review by all relevant ethics committees and abide by the outcome of those reviews. They will also ensure that such research projects have been approved by all applicable bodies, ethical, regulatory or otherwise.
- 3.11.10. Researchers on projects involving human subjects must satisfy themselves that participants are enabled, by the provision of adequate accurate information in an appropriate form through suitable procedures, to give informed consent, having particular regard to the needs and capacities of vulnerable groups, such as the very old, children and those with mental illness.
- 3.11.11. Researchers will inform research 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.

- 3.11.12. Researchers who are members of a regulated profession must ensure that research involving human participants, human material or personal data complies with any standards set by the body regulating their profession.
- 3.11.13. Researchers have a duty to publish the findings of all clinical research involving human participants. In addition, it is government policy to promote public access to information about any research and research findings affecting health and social care, including the principle that trials should appear on public registers. In this context “trials” means all comparative studies of health interventions, not just ones conducted in a clinical setting.
- 3.11.14. If researchers consider that human participants in research are subject to unreasonable risk or harm, they must report their concerns to their manager, or other appropriate person as identified by the university, and, where required, to the appropriate regulatory authority. Similarly, concerns relating to the improper and/or unlicensed use or storage of human material, or the improper use or storage of personal data, should be reported.

3.12. Research involving animals

- 3.12.1. Research involving animals will be restricted to research falling outside the scope of the *Animals (Scientific Procedures) Act 1986*. For example, this could include observational and behavioural studies of animals in a natural setting. This Act regulates the use of protected animals in any experimental or other scientific procedure which may cause pain, suffering, distress or lasting harm to the animal. A protected animal according to the Act is “any living vertebrate other than man and any living cephalopod. Fish and amphibia are protected once they can feed independently”.
- 3.12.2. When conducting, or collaborating in, research in other countries, organisations and researchers based in the UK should comply with the legal and ethical requirements existing in the UK and in the countries where the research is conducted. Similarly, organisations and researchers based abroad who participate in UK hosted research projects should comply with the legal and ethical requirements existing in the UK as well as those of their own country.
- 3.12.3. The University of Greenwich will make sure that their researchers are aware of the above systems and have access to all relevant guidance and legal and ethical frameworks.

3.13. Health and safety

- 3.13.1. The University of Greenwich will ensure that all research carried out under their auspices, or for which they are responsible, fulfils all requirements of health and safety legislation and good practice. The university will be mindful that certain types of research, for example social research in a conflict zone, can present particular issues of health and safety. The university will ensure that all research which involves potentially hazardous or harmful material or which might cause harm to the environment complies with all legal requirements and other applicable guidelines¹⁹.
- 3.13.2. The University of Greenwich has systems to ensure that such research undergoes all forms of appropriate review in accordance with the university’s policy on health and safety.
- 3.13.3. Researchers will submit such research for all forms of appropriate review and abide by the outcome of that review.

3.14. Intellectual property

- 3.14.1. The University of Greenwich and its researchers should ensure that any contracts or agreements relating to research include provision for ownership and use of intellectual property²⁰. Intellectual property includes, but is not limited to: research data and other findings of research; ideas, processes,

¹⁹ Control of Substances Hazardous to Health (COSHH), <http://www.gre.ac.uk/governance/policy/safety/policy/arr/control-of-substances-hazardous-to-health-coshh>

²⁰ Intellectual Property Policy, http://www.gre.ac.uk/governance/policy/ip/policy?_ga=1.247214529.457332134.1460365556

software, hardware, apparatus and equipment; substances and materials; and artistic and literary works, including academic and scientific publications.

- 3.14.2. The University of Greenwich and its researchers should not give prior disclosure of research or the findings of research when this might invalidate any commercial property rights that could result. The University of Greenwich and its researchers should recognise, however, that the presumption should be that any intellectual property discovered or developed using public or charitable funds should be disseminated in order to have a beneficial effect on society at large. That presumption may be rebutted where there is an express restriction placed on any such dissemination. Any delay in publication and dissemination pending protection of intellectual property should be kept to a minimum.
- 3.14.3. The University of Greenwich and its researchers should comply with any additional conditions relating to intellectual property required by funding bodies.
- 3.14.4. Researchers should try to anticipate any issues that might arise relating to intellectual property at the earliest opportunity and agree jointly in advance how they might be addressed, communicating any decisions to all members of the research team.

3.15. Finance

- 3.15.1. The University of Greenwich and its researchers will ensure that the terms and conditions of any grant or contract related to the research are adhered to.
- 3.15.2. The University of Greenwich has guidelines and policies regarding the purchasing or procurement of materials, equipment or other resources for research and the hiring of staff for research projects²¹. The University of Greenwich has procedures for the monitoring and audit of finances relating to research projects.
- 3.15.3. Researchers must comply with university guidelines and policies regarding the use and management of finances relating to research projects. Researchers must cooperate with any monitoring and audit of finances relating to research projects and report any concerns or irregularities to the appropriate person(s) as soon as they become aware of them.

3.16. Collection and retention of data

- 3.16.1. The University of Greenwich and its researchers will comply with all legal, ethical, funding body and organisational requirements for the collection, use and storage of data, especially personal data, where particular attention should be paid to the requirements of data protection legislation²². The university and its researchers will maintain confidentiality where undertakings have been made to third parties or to protect intellectual property rights. The university and its researchers should ensure that research data relating to publications is available for discussion with other researchers, subject to any existing agreements on confidentiality.
- 3.16.2. Data will be kept intact for any legally specified period and otherwise for three years at least, subject to any legal, ethical or other requirements, from the end of the project. It should be kept in a form that would enable retrieval by a third party, subject to limitations imposed by legislation and general principles of confidentiality²³.
- 3.16.3. The University of Greenwich and its researchers must comply with any subject specific requirements for the retention of data; for example, certain disciplines, such as health and biomedicine, may require research data to be retained for a considerably longer period.

²¹ Financial Procedures and Regulations, <http://www.gre.ac.uk/offices/finance/regs>

²² Data Protection Policy, http://www2.gre.ac.uk/_data/assets/pdf_file/0008/1392227/Data-Protection-Policy.pdf

²³ Information and Records Management Policy, http://www2.gre.ac.uk/_data/assets/pdf_file/0004/1229881/Information-and-records-management-policy.pdf

Information Security & Assurance Policy, http://www.gre.ac.uk/it-and-library/about/policies-and-procedures/it-policies/information-security-and-assurance-policy?_ga=1.217856467.457332134.1460365556

- 3.16.4. If research data is to be deleted or destroyed, either because its agreed period of retention has expired or for legal or ethical reasons, it should be done so in accordance with all legal, ethical, research funder and organisational requirements and with particular concern for confidentiality and security.
- 3.16.5. The University of Greenwich has in place procedures, resources (including physical space) and administrative support to assist researchers in the accurate and efficient collection of data and its storage in a secure and accessible form.
- 3.16.6. Researchers should consider how data will be gathered, analysed and managed, and how and in what form relevant data will eventually be made available to others, at an early stage of the design of the project.
- 3.16.7. Researchers should collect data accurately, efficiently and according to the agreed design of the research project, and ensure that it is stored in a secure and accessible form.

3.17. Monitoring and audit

- 3.17.1. The University of Greenwich and its researchers will ensure that research projects comply with any monitoring and audit requirements. The university will make sure that researchers charged with carrying out such monitoring and audits have sufficient training, resources and support to fulfil the requirements of the role.
- 3.17.2. The University of Greenwich will monitor and audit research projects to ensure that they are being carried out in accordance with good practice, legal and ethical requirements, and any other guidelines, adopting a risk-based and proportional approach.
- 3.17.3. Researchers should consider any requirements for monitoring and audit at an early stage in the design of a project.
- 3.17.4. Researchers must cooperate with the monitoring and audit of their research projects by applicable bodies and undertake such when required. They should cooperate with any outcomes of the monitoring and audit of their research projects. If they become aware of a need for monitoring and audit where it is not already scheduled, they should report that need to the appropriate person(s).

3.18. Peer review

- 3.18.1. The University of Greenwich and its researchers are aware that peer review is an important part of good practice in: the publication and dissemination of research and research findings; the assessment of applications for research grants; and in the ethics review of research projects.
- 3.18.2. The University of Greenwich will encourage researchers to act as peer reviewers for meetings, journals and other publications, grant applications and ethics review of research proposals, and support those who do so. The university will recognise the obligations of peer reviewers to be thorough and objective in their work and to maintain confidentiality, and should not put pressure, directly or indirectly, on peer reviewers to breach these obligations.
- 3.18.3. Researchers who carry out peer review should do so to the highest standards of thoroughness and objectivity. They should follow the guidelines for peer review of any organisation for which they carry out such work.
- 3.18.4. Researchers should maintain confidentiality and not retain or copy any material under review without the express written permission of the organisation which requested the review. They should not make use of research designs or research findings from a paper under review without the express permission of the author(s) and should not allow others to do so. Researchers acting as peer reviewers must declare any relevant conflicts of interest.

3.18.5. While carrying out peer review, researchers may become aware of possible misconduct, such as plagiarism, fabrication or falsification, or have ethical concerns about the design or conduct of the research. In such cases they should inform, in confidence, an appropriate representative of the organisation which requested the review, such as the editor of the relevant journal or chair of the relevant grants or ethics committee.

3.19. Publication and authorship

3.19.1. The University of Greenwich and its researchers will accept their duty to publish and disseminate research in a manner that reports the research and all the findings of the research accurately and without selection that could be misleading.

3.19.2. The University of Greenwich should ensure that sponsors and funders of research: respect the duty of researchers to publish their research and the findings of their research; do not discourage or suppress appropriate publication or dissemination; and do not attempt to influence the presentation or interpretation of findings inappropriately.

3.19.3. The University of Greenwich will provide training and support to guide researchers in the publication and dissemination of research and the findings of research that involves: confidential or proprietary information; issues relating to patents or intellectual property; findings with serious implications for public health; contractual or other legal obligations; and/or interest from the media or the general public.

3.19.4. Researchers should address issues relating to publication and authorship, especially the roles of all collaborators and contributors, at an early stage of the design of a project, recognising that, subject to legal and ethical requirements, roles and contributions may change during the time span of the research. Decisions on publication and authorship should be agreed jointly and communicated to all members of the research team.

3.19.5. Authorship should be restricted to those contributors and collaborators 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 (i.e. those that do not fulfil criteria of authorship). Researchers should be aware that anyone listed as an author of any work should be prepared to take public responsibility for that work and ensure its accuracy, and be able to identify their contribution to it.

3.19.6. Researchers should list the work of all contributors who do not meet the criteria for authorship in an acknowledgements section. All funders and sponsors of research should be clearly acknowledged and any competing interests listed.

3.19.7. Researchers must clearly acknowledge all sources used in their research and seek permission from any individuals if a significant amount of their work has been used in the publication.

3.19.8. Researchers must adhere to any conditions set by funding or other bodies regarding the publication of their research and its findings in open access repositories within a set period.

3.19.9. Researchers must declare any potential or actual conflicts of interest in relation to their research when reporting their findings at meetings or in publications.

3.19.10. Researchers should be aware that submitting research reports to more than one potential publisher at any given time (i.e. duplicate submission) or publishing findings in more than one publication without disclosure and appropriate acknowledgement of any previous publications (i.e. duplicate publication) is unacceptable.

3.19.11. Researchers who are discouraged from publishing and disseminating their research or its findings, or subjected to attempts to influence the presentation or interpretation of findings inappropriately, should discuss this with the appropriate person(s) in the university so that the matter can be resolved.

3.20. Misconduct in research

3.20.1. The University of Greenwich defines misconduct in research as including, but not limited to:

- Fabrication
- Falsification
- Misrepresentation of data and/or interests and/or involvement
- Plagiarism; and
- 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.

3.20.2. The University of Greenwich has a procedure to investigate allegations of misconduct in research and will ensure that any such allegations are investigated thoroughly and fairly and in a timely manner.

3.20.3. The University Secretary, or, in his/her absence the University Director of Human Resources is the main contact point for people wishing to report or raise concerns regarding research misconduct.

3.20.4. staff who have responsibility for investigating allegations of misconduct in research and whom researchers and external organisations, such as journals, can contact with any concerns about the conduct of research. The university will make sure that staff who investigate allegations have the necessary training, resources and support to fulfil the requirements of the role.

3.20.5. The University of Greenwich recognises that misconduct in research is unacceptable and must be reported; that researchers who are found to have committed misconduct in research will be subject to disciplinary proceedings; and that where researchers are members of a regulated profession, cases of serious misconduct in research will be referred to the body regulating their profession. However, the University of Greenwich will support and take appropriate steps to restore researchers' reputation and that of any relevant research project(s) where researchers are found not to have committed any misconduct.

3.20.6. The University of Greenwich will support those who raise concerns about the conduct of research in good faith and not penalise them. This support will be in accordance with the university's policy on raising concerns or "whistle blowing"²⁴.

3.20.7. Researchers are expected to know what constitutes misconduct in research and report any suspected misconduct through the relevant procedure of the university as soon as they become aware of it. Researchers are expected to recognise that good practice in research includes reporting concerns about the conduct of research and should cooperate with any investigation of misconduct in research when requested. Researchers should work with the university to support those who raise concerns in good faith about the conduct of research and those who have been exonerated of suspected misconduct.

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²⁴ Public Interest Disclosure ('Whistleblowing;') Policy & Procedure, http://www.gre.ac.uk/offices/hr/pgf/policies/Public-Interest-Disclosure-Policy-May-2016.pdf?_ga=1.154949373.457332134.1460365556