Research Code of Practice

Version Number 3.0

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Issued by the Research and Enterprise Directorate

1.0 Purpose

    a. This Code of Practice (CoP) has been developed to support those undertaking research at the University of Salford and to ensure that the University continues to deliver research that is characterised and underpinned by excellence, honesty and integrity, openness and candour, accountability and responsibility, rigour, care and respect.[1]

    b. The CoP aims to promote good conduct at all stages of the research process and to ensure that research is of the highest quality. It has the objective to support researchers in their professional conduct and publication of their research, and in their work of colleagues and students under their direction, and in their reporting of suspected conflicts of interest, poor practice or potential misconduct. It should be used in line with other relevant University policies and procedures, which are detailed in the appendices.

    c. Researchers should be aware of, and adhere to, current good practices and any statutory obligations relating to their research area. The University also promotes use of the UK Research Integrity Office Recommended Checklist for Researchers.

    d. This Code of Practice has been developed in support of Universities UK's Concordat to Support Research Integrity.

2.0 Scope

    a. This CoP applies to all University staff, students, visiting or emeritus staff, associates, holders of honorary and clinical contracts, contractors and consultants and others working on the University premises or carrying out research activity in the name, or on behalf of, the University of Salford, and across all subject disciplines and fields of study, hereafter referred to as 'Researchers'. It is the responsibility of all Researchers to make themselves familiar with, and abide by, this CoP.

    b. This CoP adheres to the Frascati definition of research (see Appendix A - Definitions).

3.0 Policy Statements

    a. Researchers are expected to adhere to this CoP in addition to other University research-related policies, procedures, codes of practice and any statutory obligations which run in parallel. Researchers have a responsibility to make themselves familiar with all of these. Associated research-related policies, procedures and codes of practice can be found in Related Documentation (Section 6.0).

    b. Researchers may consult with the Research Governance & Policy Manager

3.1 Principles

The principles outlined below map to UK Research Integrity Office (UKRIO) *Code of Practice for Research: Promoting good practice and preventing misconduct* and the Universities UK's Concordat to Support Research Integrity. The core principles are:

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[1] Per UKRIO's statement, "applicable to all types of research, organisations can use the Code [of Practice for Research] as a benchmark when drafting or revising their own codes of research practice, or adopt it in full or in part", the University of Salford has taken sections of the UKRIO Code and included them verbatim within the body of this Research Code of Practice (https://ukrio.org/publications/code-of-practice-for-research/, accessed 1/11/2022)

c. Excellence when conducting research. Determining and disseminating results of the highest quality.

d. Culture of honesty and integrity. Researchers should ensure, both in their own actions and in the actions of others, honesty and integrity in the presentation of research goals, intentions and findings; in reporting on research methods and procedures; in gathering data; in using and acknowledging the work of others; in conveying valid interpretations and making justifiable claims based on research findings. Researchers should not allow commercial or other pressures to compromise their honesty and integrity and should openly declare any competing interests.[2] Researchers must not seek to conceal their own or others' poor practice and have an obligation to report potential misconduct in an appropriate and timely manner.

e. Cooperation to promote the open exchange of ideas, research methods, data and results and their discussion, scrutiny and debate, subject to any considerations or confidentiality.

f. Scrutiny applied to all research methods and findings. Subject to legal, ethical and commercial constraints, there should be open and transparent reporting of research methods, and of the collection, analysis and interpretation of data. Research findings, including negative results if appropriate, should be made widely available.

g. Accountability of researchers to the University, to professional bodies and to wider society. Primary responsibility rests with the individual Researcher to ensure that they are adequately prepared to conduct the research and that the work meets the principles outlined in this document.

h. Training and development of skills that enable researchers to conduct their research to the required standard. The University will endeavour to identify unmet needs for development and support the researchers accordingly. Researchers should ensure that they have the necessary skills and resources to conduct their research either within the team or through collaboration, and report and resolve any unmet needs.

i. Ethical conduct in the work that is undertaken, consistent with any agreements and terms and conditions related to the project, including adherence to the agreed schedule of work and budget, reporting requirements and conditions relating to publication, data management and intellectual property rights.

j. Awareness and compliance with relevant University policies and guidelines and legal and compliance requirements (including ethics, data, finance, health and safety and national security) in their field of research. Researchers should also follow the requirements and guidance of relevant professional and/or regulatory bodies. A list of associated and relevant policies and procedures is included in section 6.0 but this list is not exhaustive.

k. Conducting research thoroughly and carefully in line with any agreed protocols and prevailing disciplinary norms and standards, both in the application of research methods and in the interpretation and presentation of results.

l. Extending care and respect to all research participants and subjects (including humans, animals, the environment and cultural artefacts). Researchers should anticipate any issues and address in a timely fashion any concerns relating to dignity, wellbeing, safety and rights, including those relating to equality and diversity.

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[2] For queries about how to correctly declare and record actual or potential conflicts of interest, contact researchgovernance@salford.ac.uk

m. Responsibility for the stewardship and preservation of knowledge.

n. Due care should be taken to ensure the responsible and appropriate dissemination and communication of research. Research outputs should be made accessible where possible, and in line with the requirements of the Open Access Policy (see 6.0).

o. The University and its researchers have a duty to create and maintain a research environment free from discrimination and harassment.

p. Ensuring the dignity, rights, safety and wellbeing of all involved in research and avoid risk or harm to research subjects, patients, participants, researchers and others. Concern regarding these must be reported and addressed prior to research being initiated or continued.

4.0 Standards of good practice

4.1 General Guidance

a. The University and its researchers must comply with all legal and ethical requirements and other guidelines that apply to their research, such as The Concordat to Support Research Integrity and materials from regulators, learned societies, research funders, publishers and others. This includes submitting research proposals for ethics review in line with internal policy and abiding by the outcome of that review. They should also ensure that research projects are approved by all applicable bodies, ethical, regulatory or otherwise.

b. When conducting, or collaborating in, research in other countries, the University and its researchers 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]

c. The University and its researchers should ensure that all research projects have sufficient arrangements for insurance and indemnity prior to the research being conducted.[4]

d. The University should:
   - ➢ ensure that good practice in research forms an integral part of its research strategy or policy
   - ➢ establish clear policies and procedures that cover the standards of good practice in research and offer detailed guidance on the standards set out in this Code
   - ➢ 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 property, and equality and diversity
   - ➢ make sure that its researchers are aware of these policies and procedures and that all research carried out under the auspices of the organisation complies with them

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[3] In instances where this presents a conflict between UK legal and ethical requirements and those of the local research location, counsel should be sought from the University's Legal Services team.

[4] Insurance and indemnity are normally arranged through University Procurement.

> ➢ provide training, resources and support to their researchers to ensure that they are aware of these policies and procedures and are able to comply with them
> ➢ encourage their researchers to consider good practice in research as a routine part of their work and monitor these measures for suitability and effectiveness and review them where necessary

e. Researchers should:

> ➢ recognise their responsibility to conduct research of high ethical standards
> ➢ be aware of the University's policies and procedures on good practice in research
> ➢ make sure that their research complies with these policies and procedures, and seek guidance from the University when necessary
> ➢ work with the University to ensure that they have the necessary training, resources and support to carry out their research
> ➢ suggest to the University how guidance on good practice in research might be developed or revised

4.2 Leadership and Supervision

The Principal Investigator of a research project or the main supervisor of a student research study is responsible for ensuring that they, and all researchers under their management or supervision, are aware of, and conduct research in accordance with this CoP and all related University policies and external legislation. This includes adherence to the above Principles and ensuring:

a. Preservation of dignity, welfare, safety and rights of all research participants and a commitment to equality, diversity and inclusion.

b. An environment which fosters and supports research of high ethical standards, mutual co-operation, professionalism and the open and honest exchange of ideas.

c. A culture where good conduct in research is promoted and inappropriate conduct is identified and addressed.

d. That a plan is in place to handle potential adverse incidents or incidental findings relating to the welfare or interests of research participants.

e. That reports of incidents (including near misses) are made as soon as is reasonably practicable through the Incident Reporting Form.

f. An appropriate level of qualification, experience and certification across the research team (including any necessary checks e.g. Disclosure Barring Service).

g. An awareness of responsibilities of researchers – ensuring that they have the necessary training, time and resources to carry out that role, and request support if required.

h. Agreements are established and formalised as necessary among all parties involved, before research commences, regarding roles and contributions, intellectual property rights, data custody and authorship of publications and are monitored and kept up to date throughout the project lifecycle.

i. Supervision in line with expectations outlined in the Doctoral School Handbook both during and after the research project or period of student research study. This includes providing or arranging appropriate training and supervision in the use of equipment and in specialist techniques.

j. Robust procedures are in place for the management of data, both during and after the project (ensuring that research data remains accessible and appropriately managed even in the event of a Researcher leaving the University), and in line with University and any other relevant (e.g. funder) records retention schedules/agreements.

k. Robust procedures are in place to manage resources and any intellectual property arising from the research (see Intellectual Property Policy, 6.0).

l. Agreements and licences are formalised and in place as necessary among all parties involved, before research commences, regarding national security in research compliance (export controls and/or National Security & Investment Act). Appropriate monitoring and data management should be maintained throughout the project lifecycle. It is the responsibility of the Principle Investigator or main supervisor of a student project to ensure these records are up to date and relevant, and is the responsibility of the University to facilitate appropriate record-keeping tools and processes.

m. Acceptable and timely reporting on research progress and outcomes, including those mandated by research councils and other funding bodies.[5]

n. Timely dissemination of research findings, both to participants as agreed and wider, in a form that facilitates scrutiny.

4.3 Training and Mentoring

a. Researchers should undertake appropriate training to enable them to carry out their duties and develop their knowledge and skills throughout their career. This should include training in the responsible design, conduct and dissemination of research. The University should support researchers in identifying unmet needs for training and development. The University should provide qualified mentors to assist in the training and career development of new researchers and also provide career development and educational opportunities for researchers who are more established in their careers.

b. The University should provide particular support for student researchers, making sure that student researchers understand which standards and University policies and procedures they are expected to comply with.

c. Researchers should 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. They should identify needs for training when they arise and report them to their manager or other appropriate person as identified by the University.

4.4 Research Design

a. When designing and conducting research projects, Researchers should ensure that:
   ➢ The proposed research addresses pertinent question(s) and is designed either to add to existing knowledge about the subject in question or to develop new research methods.
   ➢ The design of the study is appropriate for the question(s) being asked and addresses the most significant potential sources of bias.

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[5] For example, the annual UKRI Research Outcomes reporting period. See **Research & Enterprise Hub** for further information.

➢ 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, and will be made available to peer reviewers and journal editors if so requested upon publication.

➢ Sufficient skills, experience, and resources will be available in the research team or through collaboration to carry out the proposed research and that these resources meet all relevant standards.

➢ Legal requirements, ethical issues and need for ethical review, as well as risks to the organization, the research, or the health, safety and wellbeing of researchers and participants are determined.

➢ Any issues relating to the above are resolved as far as possible prior to the start of the research.

➢ That the research is conducted, and data collected, in accordance with the research design, and that appropriate quality control and quality assessment measures are in place to ensure consistency throughout the delivery of the research, and across all researchers.

b. Where the design of a study has been approved by ethics, regulatory or peer review, researchers should ensure that any subsequent alterations to the design are subject to appropriate further review and approval of changes to determine that they will not compromise the integrity of the research or any terms of consent given previously. See also Academic Ethics Policy.

c. Researchers should anticipate risks that the proposed research may produce, e.g. misuse of results for illegal or harmful purposes, and seek guidance and support from the Research Governance team (researchgovernance@salford.ac.uk) and their school's research ethics panel (ethics@salford.ac.uk) to minimise these.

4.5 Collaborative Working and National Security in Research

a. In forming research collaborations, particularly on an interdisciplinary or international basis, any issues should be anticipated, and agreements should be established and formalised as necessary among all parties involved, ideally before research commences, regarding roles and contributions, allocation of resources, common standards and procedures (for example to resolve issues and investigate misconduct), intellectual property rights, data custody and authorship of publications. These should comply with the University's policies and guidelines and those of the collaborators, as well as any relevant external legislation.[6]

b. The contracts team, based in the University's Research Contracts and Monitoring team in Finance, should be consulted in the case of large projects or complex cases, including those involving international collaboration. In international collaborations, where research is carried out with international partners or is taking place in another country, additional legal and ethical guidelines may apply and due consideration should be given.

c. All relevant due diligence should be undertaken in advance of research commencing.[7]

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[6] Such as the National Security & Investments Act (2021) and the Export Control Order (2008) and associated licensing requirements. See also National Security in Research Policy (6.0).

[7] Advice can be sought from researchgovernance@salford.ac.uk.

d. Researchers should be aware that their ongoing, future, or planned research may be subject to national security and international collaboration implications and/or licensing requirements. This is particularly, but not exclusively, true of researchers working in sensitive, new, and emerging technologies. This is also true of research not categorised as 'controlled' to be undertaken in or with countries subject to 'end use controls'. Researchers should familiarise themselves with the National Security in Research Policy and guidance and discussion their collaborations with the Research Governance Manager and/or Head of Commercialisation before commencing new projects.[8]

4.6 Conflicts of Interest

a. The University and its researchers must recognise that conflicts of interest (i.e. personal or institutional considerations, including but not limited to financial matters) can inappropriately reflect research. Conflicts of interest must be identified, declared and addressed in order to avoid poor practice in research or potential misconduct.

b. The University's Register of Interests, Gifts and Hospitality Policy (Declaration and Management of Conflicts of Interest) applies whenever a member recognises, or could reasonably be expected to recognise, that a conflict of interested may arise from their activities.[9] Where compliance is mandatory, this is outlined in the relevant section of the Policy.

c. In a research context, responsibility for identifying and declaring conflicts of interest (in line with the Register of Interests, Gifts and Hospitality Policy procedures) lies with each individual involved in the research. Researchers must be aware of and comply with the policy.

d. 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 research.

e. The University and its researchers must additionally comply with any external requirements relating to conflicts of interest, such as those of funding bodies. This should include declaring any potential or actual conflict of interest relating to their research to: their manager or the Research & Enterprise Directorate; any ethics committee which has reviewed or will review 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.

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[8] A comprehensive list of in-scope research activities and disciplinary areas is available on the R&E Hub National Security in Research pages and through consultation with the Research Governance Manager, RE-export-NSI@salford.ac.uk

[9] In this context, "member" refers to: members of Council and committees of Council, including co-opted members; all University employees, including those engaged by subsidiary companies; persons affiliated to the University by way of honorary academic title (including but not limited to emeritus professors and visiting professors or visiting researchers). These definitions are taken from the Register of Interests, Gifts and Hospitality Policy.

4.7 Research Involving Human Participants, Human Material or Personal Data

a. Any research involving the use of human tissue or fluid samples must comply with all relevant legislation and codes of practice, including the [Human Tissue Act (2004)](#) and the [Human Fertilization and Embryology Act (2008)](#).[10]

b. Any research involving human participants, human material or personal data must comply with all legal and ethical requirements and other applicable guidelines. Appropriate care should be taken when research projects involve vulnerable groups (e.g. 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.

c. The dignity, rights, safety and wellbeing of participants must be the primary consideration in any research study. Research should only be initiated and continued if the anticipated benefits justify the risks involved.

d. The University requires its researchers to be aware of and comply with its Safeguarding Guidance for Researchers and safeguarding procedures. This is of particular importance when researching, or intending to research, with research participants under the age of 18 and/or adults at risk (see 6.0).

e. The University 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. This must be done through adherence to legal and ethical requirements, as well as internal policy including the Data Protection Policy and the Research Data Management Policy.

f. Researchers working with, for, or under the auspices of any UK Departments of Health and/or the National Health Services 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 Ethic Service's Guidance for Applicants. Researchers involved in clinical trials on medicinal products (CTIMPs) for human use should comply with the principles of Good Clinical Practice.[11]

g. Researchers involved in clinical trials on medicinal products or medical devices for, on behalf of or in the name of the University of Salford, must ensure their research is appropriately indemnified before it commences.

h. Researchers must submit research projects involving human participants, human materials or personal data for review by their school ethics panel (see also Academic Ethics Policy) and abide by the outcome of that review. They should also ensure that such research projects have been approved by all applicable bodies, ethical, regulatory or otherwise.

i. Researchers on projects involving human participants must satisfy themselves that participants are enabled, by the provision or adequate information in an appropriate form through suitable procedures, to give informed consent, having particular regard to the needs and capacities of vulnerable groups.

j. Researchers should inform research participants that data gathered during the course of research may be disseminated not only in a report but also in different

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[10] The University does not hold a Human Tissue Authority (HTA) licence. A licence is not required for use of human tissue and fluid samples in a specific research project which has Health Research Authority approval from another institution or organisation, however any human tissue or fluid sample must comply with the requirements of the licence holder and be auditable by the institution or organisation holding the licence.

[11] Clinical trials must be registered, and the detail on that register kept up to date, on an appropriate clinical trials register. The University provides administrative management for the https://clinicaltrials.gov/ website and support can be sought by contacting researchgovernance@salford.ac.uk.

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. Notification may be appropriate through a Participant Information Sheet, Consent Form, Privacy Notice or other means, or a combination of these, and appropriate advice about the correct format should be sought in advance of commencing data collection (e.g. through the Information Governance Team or Research Data Manager).

k. 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.

l. 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 researcher and research findings affecting health and social care, including the principle that trials should appear on public registers.

4.8 Research Involving Animals

a. The University does not permit experimentation on live vertebrates and cephalopods on its premises. It is the responsibility of the researcher to ensure that, in the case of research on animals undertaken on behalf of the University either by a third party or in external organisations, all statutory controls and codes of practice are observed, including the Animals Scientific Procedures Act (1986) and the principles of the 3Rs (Replacement, Reduction and Refinement).

4.9 Health and Safety

a. Researchers and the University must ensure that the work fulfils the requirements of health & safety legislation and recognised leading practice and should bear in mind that some types of research can present particular issues of health and safety (e.g. if conducted in a conflict zone) and other types (e.g. research that involves hazardous/harmful material) must comply with all applicable legal requirements and other guidance.

b. Researchers must submit such research for all forms of appropriate review and abide by the outcome of the review(s).

c. The University's ethics panels (ethics@salford.ac.uk), Research Governance Team (researchgovernance@salford.ac.uk), and Health & Safety offer support to researchers to ensure that research undergoes all forms of required review.

4.10 Intellectual Property

a. The University's Intellectual Property Policy should be consulted for guidance on intellectual property.

b. Researchers and the University should ensure that any contracts or agreements relating to research include provision for ownership and use of intellectual property and requirements should be discussed with Research Contracts and Monitoring. Intellectual property includes but is not limited to research data and other findings of research; ideas, processes, software, hardware, apparatus and equipment; substances and materials; and artistic and literary works, including academic and scientific publications.

c. Researchers and the University 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 and 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. Researchers should check with the Head of Commercialisation and/or Research Contracts and Monitoring prior to disclosure.

d. Researchers and the University should comply with any additional conditions relating to intellectual property required by funding bodies.

e. The University should clearly state when their standard guidance might not apply; for example, a university would normally waive copyright of articles prepared for publication in journals or books.

f. 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.

4.11 Finance and Monitoring

a. The University is responsible for ensuring researchers are made aware of any terms and conditions of any grant or contract related to research projects and set up procedures for monitoring and audit of finances related to research projects.

b. Researchers must adhere to the terms and conditions of any grant or contract related to their research.

c. Researchers should comply with the University's and/or funder's guidelines regarding the use and management of finances relating to research projects. They should cooperate with any monitoring and audit of finances relating to research projects and report any concerns or irregularities to the University's Research Contracts and Monitoring team in Finance as soon as they become aware of them.

d. Similarly, researchers should 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.

4.12 Collection and Retention of Data

a. Researchers should 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 legislation. They should also maintain confidentiality where undertakings have been made to third parties or to protect intellectual property rights. Organisations and researchers should ensure that research data relating to publications is available for discussion with other researchers, subject to any existing agreements on confidentiality.

b. Data should be kept intact for any legally specified period and otherwise for six 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 confidentiality.

c. Researchers should 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.[12]

d. 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.[13]

e. 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.

f. 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.

4.14 Peer Review

a. Researchers should be aware that peer review is an important part of good practice in the publication and disseminations of research and research findings; the assessment of applications for research grants; and the ethics review of research projects.

b. The University encourages researchers to act as peer reviewers for internal processes as well as journals and other publications, grant applications, ethics reviews and research proposals, and they should support those who do so. They should 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.

c. Researchers who carry out peer review should do so to the highest standards of thoroughness and objectivity.

d. Researchers should maintain confidentiality and not retain or copy any material under review. Researchers acting as peer reviewers should declare any relevant conflicts of interest.

e. While carrying out peer review, researchers may become aware of possible misconduct, such as plagiarism, fabrication or falsification, or they may have ethical concerns about the design or conduct of the research. In such cases, they should inform, in confidence, the relevant chair of research ethics. Specific processes will be brought to bear in this context, including the Research Misconduct Policy and Procedure, the Academic Misconduct Procedure and the University's Disciplinary Policy.

4.15 Publication and Authorship

a. Researchers should 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.

b. The University should provide training and support to guide researchers in the publication and dissemination of research and the findings of research.

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[12] This may include, for example, clinical trials and funded projects with their own data retention requirements. In cases where recommended or required practice is unclear, researchers are directed to discuss with the Research Data Manager and/or Data Protection Manager for advice.

[13] Consider in relation to Freedom of Information (FOI) requests and discuss with the Information Governance Team

c. Researchers should address issues related 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 communicated to all members of the research team.

d. Authorship is clearly defined in the University's Good Practice in Authorship and Dissemination of Publications guide. 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. Any potential or actual conflicts of interest in relation to research should be declared when reporting findings at meetings or in publications.

e. 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. The principles of the University's Ethics Framework and Research Code of Practice apply.

f. Researchers must clearly adhere to any conditions set by funding or other bodies regarding the publication of their research and its fundings in open access repositories within a set period. Further guidance on open access publishing is available in the University's Open Access policy.

g. 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 disclosure and appropriate acknowledgement of any previous publications is unacceptable.

h. 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 their relevant chair of research ethics.

4.16 Misconduct in Research

a. The University has a standalone policy on research misconduct and a procedure for reporting allegations of research misconduct (see Related Documentation, 6.0).

b. The University adheres to the UK Research Integrity Office (UKRIO) definition of research misconduct (see Appendix A: Definitions).[14]

4.17 A Community of Scholars and Researchers

a. Researchers should be aware that their research may impact on others within and outside the University. Researchers should act in a collegial manner at all times and strive to ensure that the University and the sector remains an effective, diverse, interdisciplinary community of scholars and Researchers.

5.0 Policy Enforcement / What happens when the policy/procedure is not followed

Any breach of this Code of Practice may be grounds for action under the University's Research Misconduct, Academic Misconduct and/or Disciplinary policies.

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[14] Further examples of research misconduct are provided in Appendix A.

6.0 Related Documentation

Policies and Procedures
[Academic Ethics Policy](#) (internal)
[Data Protection Policy](#)
[Equality, Diversity & Inclusion Annual Report 2021 (incl. EDI Statement)](#)
[Good Practice in Authorship and Dissemination of Publications User Guide](#)
[Health & Safety Policy](#) (internal)
[Incident Reporting Form](#) (internal)
[Information Security ICT Acceptable Use Policy](#)
[Intellectual Property Policy](#)
[Lone Working Code of Practice](#)
[Open Access Policy](#)
[Proofreading and Plagiarism Guidance](#) (internal)
[National Security in Research Policy](#) (internal)
[Records Retention Schedule](#)
[Register of Interests, Gifts and Hospitality Policy (Declaration and Management of Conflicts of Interest)](#)
[Research Data Management Policy](#)
[Research Misconduct Policy & Procedure](#)
[Safeguarding Guidance for researchers, research students and participants](#) (internal)
[Safeguarding Policy](#)

[University of Salford Privacy Statement](#)
[University Guidance on Proofreading, Peer Review and Plagiarism](#)
[Whistle Blowing Policy](#) V4.0
External information of direct relevance to this Code of Practice
[Animal testing and research: guidance for the regulated community](#)
[Animals (Scientific Procedures) Act (1986)](#)
[Athena SWAN Charter](#)
[Concordat to Support the Career Development of Researchers](#)
[Data Protection Act (2018)](#)
[Equality Act 2010](#)
[Frascati Manual](#)
[Gender Recognition Act](#)
[Health Research Authority UK Policy Framework for Health and Social Care Research](#)
[Human Fertilization and Embryology Act (2008)](#)
[Human Tissue Act (2004)](#)   [Relevant material under the Human Tissue Act (2004)](#)
[Medicines for Human Use (Clinical Trials) Regulations (2004)](#)
[Mental Capacity Act 2005](#)

[National Security and Investment Act (2021)](#)
[National Centre for the Replacement, Refinement and Reduction of Animals in Research (NC3Rs)](#)
[Nagoya Protocol (Convention on Biological Diversity, CBD)](#)   [Nagoya Protocol (UK: BEIS/DEFRA)](#)
[Researcher Development Framework (2011), Vitae](#)
[Trusted Research Guidance for Academia (National Protective Security Authority, NPSA)](#)   [Trusted Research and Innovation Principles (UKRI)](#)
[UKRI Policy and Guidelines on Governance of Good Research Conduct](#)
[UKRI Procedure for the Investigation of Misconduct in Research](#) (2022 version under consultation)
[UKRI resources on open data](#)
[UKRIO Code of Practice for Research: Promoting good practice and preventing misconduct](#)
[UKRIO Recommended Checklist for Researchers](#)
[Universities UK Concordat to Support Research Integrity](#)
If you experience any issues accessing any of the documents or links listed here, please contact Research Governance & Policy Manager at **researchgovernance@salford.ac.uk**

7.0 Appendices

Appendix A: Definitions

Term	Definition/Notes
'Research'. The University of Salford adheres to the [Frascati definition of research](#)	This CoP acknowledges that the Frascati definition is not the only definition of research. Furthermore, the University would need to consider Research England's definition of Research for the next REF assessment; the REF definition of research might exclude some activities for the purposes of the assessment but that this did not preclude those activities from more broadly being considered or categorised as 'research'. *Research and experimental development (R&D) comprise creative and systematic work undertaken in*

	order to increase the stock of knowledge – including knowledge of humankind, culture and society – and to devise new applications of available knowledge. *2.6 A set of common features identifies R&D activities, even if these are carried out by different performers. R&D activities may be aimed at achieving either specific or general objectives. R&D is always aimed at new findings, based on original concepts (and their interpretation) or hypotheses. It is largely uncertain about its final outcome (or at least about the quantity of time and resources needed to achieve it), it is planned for and budgeted (even when carried out by individuals), and it is aimed at producing results that could be either freely transferred or traded in a marketplace. For an activity to be an R&D activity, it must satisfy five core criteria.* *2.7 The activity must be:* *novel* *creative* *uncertain* *systematic* *transferable and/or reproducible.* *2.8 All five criteria are to be met, at least in principle, every time an R&D activity is undertaken whether on a continuous or occasional basis. The definition of R&D just given is consistent with the definition of R&D used in the previous editions of the Frascati Manual and covers the same range of activities.* *2.9 The term R&D covers three types of activity:* **basic research**, **applied research** *and* **experimental development**. *Basic research is experimental or theoretical work undertaken primarily to acquire new knowledge of the underlying foundations of phenomena and observable facts, without any particular application or use in view. Applied research is original investigation undertaken in order to acquire new knowledge. It is, however, directed primarily towards a specific, practical aim or objective. Experimental development is systematic work, drawing on knowledge gained from research and practical experience and producing additional knowledge, which is directed to producing new products or processes or to improving existing products or processes.*
Personal Data	The University adheres to the Information Commissioner's Office **definitions of personal data**.

Research Misconduct	The University adheres to the UK Research Integrity Office (UKRIO) **definition of research misconduct** which includes, but is not limited to:
	• Fabrication
	• Falsification
	• Failure to meet legal, ethical and professional obligations, for example with regard to
	o human research participants or protection of the environment
	o breach of duty of care, whether deliberately, recklessly, or by gross negligence (e.g. failure to obtain informed consent)
	o misuse of personal data and breaches of confidentiality (e.g. disclosure of identity of research participants)
	o improper conduct in peer review (e.g. failure to disclose conflict of interest or limited competence, breach of confidentiality, misappropriation of content of material)
	• 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:
	o avoiding unreasonable risk or harm to:
	▪ humans;
	▪ animals used in research; and
	▪ the environment; and
	▪ the proper handling of privileged or private information on individuals collected during the research
	• Improper dealing with allegations of misconduct (e.g. failing to address possible infringements, failure to adhere to procedures), also including inappropriate censoring of parties through the use of legal instruments such as non-disclosure agreements.

	Whilst honest errors and differences in, for example, research methodology or interpretations do not constitute research misconduct, examples of Research Misconduct (whether deliberate, reckless or negligent) include:
	- Failure to obtain appropriate permission to conduct research - Failure to follow approved protocols - Deception in relation to research proposals - Failure to comply with the University's Research Code of Practice and relevant professional codes of practice relating to research - Use of information in breach of obligations of confidentiality - Failure to comply with the Data Protection Act 2018 - Use of information sources, including the Internet, in a way that break the relevant rules, policies and codes of practice, for example (but not limited to) any breach of the University's policies on use of the Internet - Research practice which results in harm to humans or the environment - Failure to follow statutory regulations on animal experiments - Fabrication, falsification or corruption of research data - Distortion of research outcomes, for example omission of data that do not fit expected results without underlying rationale/justification for its omission - Misrepresentation of results - Publication of data known or believed to be false or misleading - Plagiarism or use of unacknowledged sources - Misquotation or misrepresentation of other authors - Inappropriate attribution of authorship - Fraud or other misuse of research funds or research equipment - Attempting, planning or conspiring to be involved in research misconduct - Inciting others to be involved in research misconduct - Collusion in or concealment of research misconduct by others Note: See the University's Research Misconduct Policy and Procedure for further details.
Adults at Risk of Harm (Safeguarding)	For the purposes of safeguarding guidance for researcher, an "adult at risk of harm" is defined as:

- a person aged 18 and over who is or may be in need of community care services by reason of mental or other disability, age of illness and

- who is or may be unable to take care of him or herself, or unable to protect him or herself against significant harm or exploitation

In a University setting, factors which may indicate vulnerability include:

- physical or mental disabilities

- language or communication difficulties

- learning differences

- social isolation

- international or refugee status

- health conditions, particularly if long-term

- drug or alcohol dependence

- care leavers or estrangement

- homelessness

- permanent or temporary reduction in physical, mental or emotional capacity brought on by significant life events

Appendix B: Acknowledgements

In originally developing this Code of Practice the University of Salford was inspired by exampled good practice at the University of York, St. Mary's University and Cardiff University. In re-reviewing this Code of Practice, the University of Salford has subscribed to the best practice of the UK Research Integrity Organisation and sections of the CoP (V3.0 onwards) are taken verbatim from the UKRIO Code of Practice for Research. In addition, the Research Governance Working Group has drawn on a range of additional resources, including:

[UK Policy Framework for Health and Social Care Research](#)

[UKRI Policies and Standards – Good Research Resource Hub](#)

[UKRIO Code of Practice for Research: Promoting good practice and preventing misconduct](#)

[Universities UK Concordat to Support Research Integrity](#)

If you require further information regarding this Code of Practice, please contact the Research Governance & Policy Manager on researchgovernance@salford.ac.uk or visit the Research & Enterprise Hub [Governance and Policy](#) pages.

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Research Gov. Working Group	Updated to fully align with UK Research Integrity Office Code of Practice for Research and to integrate with existing University policies.	V3.0	Academic Ethics & Research Integrity Committee, February 2023 (subject to minor amendments, made February 2023).
Research Gov. Working Group	Update to include alignment to Frascati definition of research, plus explicit statement of necessity to adhere to existing internal policies.	V2.3	Academic ethics & Research Integrity Committee, February 2023.
Res. Gov. Working Group	Update to data protection statements	V2.2	Legal and Information Governance
Res. Gov. Manager	Update to include minor changes to internal policies.	V2.1	Research Governance Working Group, September 2022.
Research Gov. Working Group	Major update to content to align with sector changes to practice, update to EIA, update to URLs, alignment with other University policies, addition of definitions, update to Related Documentation. Aligned to UKRIO definition of Research Misconduct. Addition of research governance contact information and clearer statement to align with national security in research/Trusted Research agendas.	V2.0	Research and Enterprise Committee, May 2022 Endorsed by Academic Ethics Committee, May 2022
Research Gov. Officer	Minor update to reflect changes to URLs and job titles	V1.1	Research and Enterprise Committee May 2019
Prof Nick Hardiker & Anish Kurien	New document	V1.0	Research and Enterprise Committee: 21st June 2017

Policy Management and Responsibilities:	
Owner:	This Policy is issued by the Research & Enterprise Directorate, which has the authority to issue and communicate policy on research governance and has delegated day to day management and communication of the policy to the Research Governance Working Group and the Research Governance and Policy Manager.
Others with responsibilities (please specify):	Office of the Director of Research and Enterprise; Research Governance and Policy Manager

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