University of the West of England

Code of Good Research Conduct

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Table of Contents

1. INTRODUCTION....4
2. GOOD RESEARCH CONDUCT....4
2.1 Terminology - integrity, good research conduct, good research practice and research misconduct....4
2.2 What is good research practice?....4
2.3 Why is good research practice important?....5
3. FUNDER AND PARTNER REQUIREMENTS UPON UWE BRISTOL AND ITS RESEARCHERS....6
3.1 Concordat requirements....6
3.2 Other funder requirements....6
4. LEADERSHIP AND EMBEDDING A CULTURE OF RESEARCH INTEGRITY....6
4.1 Overall University management responsibility....6
4.2 The research governance structure at UWE Bristol....6
4.3 Research project management....7
5. TRAINING AND SUPPORT....9
5.1 Adequate provision in training and development for researchers....9
5.2 Induction....9
5.3 Supervision....10
6. RESEARCH ETHICS....11
6.1 Research ethics at UWE Bristol....11
6.2 University obligations....11
6.3 Research ethics policy and procedures and researcher obligations....11
7. RESEARCH DATA MANAGEMENT....12
8. COMMUNICATING THE OUTCOMES OF RESEARCH....12
8.1 Good practice in publication....12
8.2 Authorising publication....13
8.3 Open Access....14
9. RESPONSIBILITY FOR SUBMISSION OF RESEARCH APPLICATIONS TO EXTERNAL FUNDERS....14
9.1 Responsibilities in relation to research applications....14
9.2 Responsibilities in relation to decisions about acceptable sources of funding....15
10. RESPONSIBILITY FOR INTERNALLY FUNDED RESEARCH....16
11. PEER REVIEW....16
12. CONFLICTS OF INTEREST....16
13. HEALTH AND SAFETY....17
13.1 Health and safety obligations....17

13.2 Required training and support 17
13.3 Further Guidance 17
14. FINANCIAL PROBITY 17
15. INTELLECTUAL PROPERTY 18
16. INSURANCE, LIABILITY AND NEGLIGENCE 19
17. LEGAL AND REGULATORY FRAMEWORKS 20
18. EQUALITY AND DIVERSITY 21
19. SUSTAINABILITY 21
20. PUBLIC INTEREST DISCLOSURE ('WHISTLEBLOWING') 22
21. RESEARCH MISCONDUCT 22
REFERENCES 23
ANNEXES 26
Annex 1: Research role definitions 27
Annex 2: Concordat to Support Research Integrity – key employer and researcher requirements 29
Annex 3: Examples of funder requirements in addition to compliance with the concordat 32
Annex 4: UWE Bristol Formal Research Governance Structure 35
Annex 5: Peer Review 36
Annex 6: Health and Safety Procedures and Guidance 37
Annex 7: Some key legislation and regulation affecting research 39
Annex 8: University of the West of England Procedures for the investigation of Research Misconduct 46

1. INTRODUCTION

This Code of Conduct sets out the University's requirements, advice and guidance in relation to good research conduct and practice. This Code is an updated version of the previous *Code of Good Conduct in Research* (April 2010), and incorporates the requirements of the *Concordat to Support Research Integrity* (Universities UK, 2012). It applies to researchers conducting research at, or under the auspices of, UWE Bristol. This includes academic staff, professional service staff, and students conducting research as part of any programme. Visiting researchers and students are also covered by the relevant provisions of the Code. In the case of students, researcher responsibilities are shared with Directors of Studies for research degrees or the student research Supervisor for taught degrees (see 5.3.3 below). More detailed information about research role definitions is included at **Annex 1**.

2. GOOD RESEARCH CONDUCT

2.1 Terminology - integrity, good research conduct, good research practice and research misconduct

This Code uses the following meanings. Research integrity is what we are trying to achieve. Good research practice is what we do to achieve integrity in our research (and is outlined in more detail below at 2.2). Good research conduct is demonstrated when our research practice is of a sufficiently high standard to ensure that integrity is upheld. Research misconduct, as defined in the *Concordat to Support Research Integrity*, is behaviour or actions that fall short of the standards of ethics, research and scholarship required to ensure that the integrity of research is upheld. Research governance is the framing within which we manage research to ensure research integrity is achieved. This framing includes principles, legal and regulatory provisions, standards of good practice, policies, guidance, systems, management and supervision; and spans institutions and in some cases national boundaries.

2.2 What is good research practice?

2.2.1 The *Concordat to Support Research Integrity* sets out a comprehensive national framework for good research conduct and its governance. Good research practice is defined by the *Concordat to Support Research Integrity* as research which is conducted to the highest standards of rigour and integrity.

The core elements are set out as:

- **Honesty** in all aspects of research, including 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 other researchers; and in conveying valid interpretations and making justifiable claims based on research findings.

- **Rigour**, in line with prevailing disciplinary norms and standards: in performing research and using appropriate methods; in adhering to an agreed protocol where appropriate; in drawing interpretations and conclusions from the research; and in communicating the results.

- **Transparency and open communication** in declaring conflicts of interest; in the reporting of research data collection methods; in the analysis and interpretation of data; in making research findings widely available, which includes sharing negative results as appropriate; and in presenting the work to other researchers and to the general public.

- **Care and respect** for all participants in and subjects of research, including humans, animals, the environment and cultural objects. Those engaged with research must also show care and respect for the stewardship of research and scholarship for future generations.

2.2.2 The *Concordat to Support Research Integrity*, published in July 2012, is signed by a number of key research funders, including HEFCE and the Research Councils. The Concordat sets out expectations of the signatories in relation to good research conduct, and compliance is a condition of research funding from those organisations. The expectations set out in the Concordat are the broadly accepted standards against which universities and researchers should judge research integrity, and is therefore a fundamentally important document for all researchers. Staff and students engaged in research are expected to familiarise themselves with the Concordat which can be found at:
http://www.universitiesuk.ac.uk/highereducation/Documents/2012/TheConcordatToSupportResearchIntegrity.pdf

2.3 Why is good research practice important?

Research integrity underpins the value of research. As stated in the foreword on page 5 of the Concordat, 'Excellence and integrity are inextricably linked'. Good research practice has a direct impact on the quality of research, and on its value to those who might use it and therefore the impact it may have. Demonstrable research excellence goes hand in hand with demonstrable excellence in research practice and processes. Together, these contribute to the reputation of both researchers and the University. Good research practice also contributes to public trust in research, and protects research participants and those otherwise affected by research processes and outcomes; it also ensures that the best possible value is obtained from research funding. UWE Bristol places the highest possible emphasis on integrity and excellence in research practice. This is also a matter of compliance with key funder requirements, without which the University would be unable to receive research funds from funders who are signatories to the Concordat.

3. FUNDER AND PARTNER REQUIREMENTS UPON UWE BRISTOL AND ITS RESEARCHERS

3.1 Concordat requirements

3.1.1 As a member of Universities UK, UWE Bristol is committed to the Concordat. The University is also in receipt of funds from signatories to the Concordat. This means that the University, and all conducting research at UWE Bristol, must comply with the requirements set out in the Concordat. In addition, the University welcomes the RCUK policy and Guidelines on Good Research Conduct, and expects all its staff and students engaged in Research Council funded research activity to comply with the requirements set out therein: http://www.rcuk.ac.uk/Publications/researchers/grc/

3.1.2 The University will comply with the Concordat requirements placed upon employers of researchers.

3.1.3 Key Concordat requirements on researchers and employers are set out at **Annex 2.** The University requires its staff and students engaged in research to comply with the Concordat requirements placed upon researchers.

3.1.4 HEFCE will monitor compliance with the Concordat via the Annual Return and subsequent audit of a number of institutions, and RCUK will monitor compliance as part of its Assurance Exercise. The ultimate sanction upon the University is the removal of research funding.

3.2 Other funder requirements

In addition to the requirements set out in the Concordat, specific funders also have their own specific requirements. Examples of these are set out in **Annex 3**. Researchers engaging with such funders should familiarise themselves fully with, and ensure that their research complies with, such funder requirements.

4. LEADERSHIP AND EMBEDDING A CULTURE OF RESEARCH INTEGRITY

4.1 Overall University management responsibility

The University is committed to providing the right framework for research integrity to flourish. In part, this means providing clear guidance about policies, procedures and responsibilities, and the training and support necessary for researchers to play their role. It is also important to monitor the implementation of such policies and procedures.

4.2 The research governance structure at UWE Bristol

4.2.1 The governance structure for research at UWE Bristol is set out in the flow diagram at **Annex 4**. Ultimate responsibility rests with the Vice Chancellor and Board of Governors. The key Committee with oversight of research governance, reporting ultimately to the Governors via Academic Board, is the University Research and Knowledge Exchange

Committee, and the senior level oversight rests with the Pro Vice Chancellor Research and Business Engagement, reporting to the Vice Chancellor. Executive Deans, Associate Deans and Heads of Department all play a key role in the governance structure. It is important to understand, however, that research governance is everyone's business – all staff and students involved with research at the University have a responsibility to play their appropriate part in ensuring our research is conducted to the highest standards of research integrity. Responsibilities are described in more detail below.

4.2.2 Within the University, it is the responsibility of the Senior Management Team, Executive Deans and Associate Deans (both Research, and Teaching and Learning) within faculties, or Heads of Professional Service, to ensure that research is conducted in accordance with good research practice. Where research is being conducted by Professional Service staff, responsibility rests with the Head of Service. The Pro Vice Chancellor (Research and Business Engagement) has overall executive responsibility for overseeing the review and implementation of the UWE Bristol Policy on Good Research Conduct and this Code of Conduct. The Pro Vice Chancellor (Research and Business Engagement) will be supported in this function by the University's Research Governance Manager, who is the first point of contact for research conduct matters.

4.3 Research project management

4.3.1 Different funders and authorities use different terms for a research Project Manager (e.g. Principal Investigator, Chief Investigator). UWE Bristol uses the term Project Manager for research to indicate a formal University management role in relation to a project. This does not necessarily refer to the person responsible for the day to day activities of managing the project, but to the person with overall University management responsibility for the project. Where UWE Bristol is the lead institution, this will usually be the first named applicant on the funding application. Where another institution leads, a UWE Bristol Project Manager should be appointed from amongst the UWE Bristol co-applicants, to take management responsibility for the UWE Bristol part of the project.

4.3.2 All research projects must have a designated UWE Bristol Project Manager, including internally funded projects, and research undertaken as part of personal research and scholarship. For postgraduate research student projects this will be their Director of Studies. For students conducting research as part of taught courses this will be the student research Supervisor (see also section 5.3.3 on Supervision).

4.3.3 The Project Manager is the person designated as taking overall responsibility within the team of researchers for the design, conduct and reporting of the study and has responsibility for ensuring compliance with all aspects of the UWE Bristol *Code of Good Research Conduct*. This includes ensuring that:

- the research is carried out in accordance with this Code (and related guidelines, regulations, procedures and Health and Safety Standards) and that all research project staff, including public research partners, are aware of the provisions of the Code and any research practice guidelines produced by relevant professional and other bodies. Where the provisions of this Code are in conflict with those of any

partner organisation such as a collaborator or funder, agreed arrangements must be included in the contractual agreements between the parties concerned; [1]

- the dignity, rights, welfare and safety of researchers and any research participants are safeguarded;
- the project complies with all legal, contractual and ethical approval requirements;
- the University's research project approval process is adhered to for externally funded research;
- the research is carried out as defined in the original proposal to the funder (where applicable) and that any proposed changes to the protocol need to be approved by the appropriate funder, and the relevant research ethics committee where appropriate;
- controlled trials, and where appropriate other health related research, are registered on an appropriate external register, and on the UWE Bristol register of clinical trials in accordance with the regulation of clinical trials; [2]
- human tissue research is registered on the UWE Bristol Human Tissue Register, appropriate approvals for the project are in place, and it complies with the national regulations for use of Human Tissue in Research, further details of which are at: http://hta.gov.uk/licensingandinspections/sectorspecificinformation/research/researchsector.cfm;
- where necessary, Department of Health Research Governance Framework obligations, including reporting of serious adverse events, are complied with (https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/139565/dh_4122427.pdf); and complying with the Caldicott Principles on confidentiality: http://www.hscic.gov.uk/media/12822/Guide-to-confidentiality-in-health-and-social-care/pdf/HSCIC-guide-to-confidentiality.pdf;
- procedures are in place to collect, store and protect project data (and its integrity and confidentiality, during collection, processing, analysis and storage), and that it is appropriately archived or destroyed upon completion of the research;

[1] Advice and support will be available to the Project Manager from the Research Governance team and the Contracts team.

[2] Whilst the requirement to register clinical trials is mandatory, in line with the WMA Declaration of Helsinki October 2013 (http://www.wma.net/en/30publications/10policies/b3/), and National Research Ethics Service Guidance, it is also recommended for reasons of transparency that all other research into human health should also be registered in a publically accessible database.

- reports on research progress and outcomes are produced on schedule and to an acceptable standard and in accordance with assessment requirements set out for students;
- findings are consistent with principles of open access and are open to critical review through accepted research and professional channels and disseminated promptly as appropriate to participants (for student research this requirement applies only where appropriate judged by the student research Supervisor);
- the terms of any confidentiality and intellectual property rights agreements are complied with and any intellectual property arising is managed and reported appropriately; any conditions regarding publication arrangements are in place; and
- Research project staff, including public research partners, are appropriately skilled, trained and supported in their work on the project, and students acquire research skills to the necessary level in the course of their research training.

5. TRAINING AND SUPPORT

5.1 Adequate provision in training and development for researchers

It is the University's policy that all UWE Bristol staff and students conducting research should be properly trained for the research they are conducting, including the necessary understandings of research integrity.

It is the responsibility of the Project Manager, student research Supervisor or Director of Studies to identify required research skills and training needs, and to ensure that the necessary research related training is accessed by researchers, including public research partners. It is the responsibility of Executive Deans, and where appropriate Heads of Professional Services, to ensure that necessary training is made available in an appropriate and timely way. Where a University-wide approach is necessary, it is the responsibility of the Pro Vice Chancellor (Research and Business Engagement) to ensure that such research training can be effectively delivered. For undergraduate and masters student research, this will normally be covered as part of the teaching and learning process.

5.2 Induction

It is the responsibility of Executive Deans, and where appropriate Heads of Professional Services, to ensure that new staff who will be conducting or supervising research are provided with an induction programme that contributes to understanding and adopting best practice as quickly as possible. This should include, where necessary, appropriate research training in, for example, legal and regulatory issues, ethics approval and consents, research design, equipment use, risk assessment, health and safety, confidentiality, research data management and data protection. Such training should be provided in a timely way, taking advantage, where appropriate, of central provision. Ensuring that necessary research induction training for students is received is the

responsibility of the Director of Studies or Module Leader. All staff and students should receive necessary induction for laboratories or other specialist facilities, such as workshops and art studios, prior to being allowed access.

5.3 Supervision

5.3.1 Student responsibilities

Students are responsible for following good research practice as set out in this Code. However, it is not expected that all students will start their research with sufficient knowledge of what constitutes good research practice as their research forms part of their training. It is therefore essential that students attend supervisory sessions, and take the advice of their research supervisors, and operate within the advice received from relevant committees, for example in relation to ethical scrutiny. If a student has been given advice by their supervisor and has deliberately and wilfully chosen to ignore it, the student may be personally liable.

5.3.2 Student research supervisor training

The University will provide, as appropriate, training for student research Supervisors in supervisory skills through a structured programme of staff development for academic staff, and Supervisors will be required to take part in any training necessary to ensure they are able to conduct their supervisory duties. Such training needs may arise even for experienced Supervisors as, for example, legal and regulatory frameworks change, developments in research methods arise, or a particular research project being supervised is sufficiently beyond/unrelated to the Supervisor's current direct experience to necessitate training being needed. The University encourages and supports continuing professional development of this kind amongst supervisors. The Graduate School provides appropriate training for research degree students, and development sessions and opportunities to share practice for research degree supervisors.

5.3.3 Supervisor responsibility for student research supervision, training and support

For taught programmes, Programme and Module Leaders play a part in ensuring that there is adequate research training and support available for students on their modules or programmes. However, the key role is the student research Supervisor, who is responsible and accountable for the management of any student research that they supervise and should ensure that students have adequate supervision, support and training. It is the student research Supervisor's responsibility to support students in conducting their research, and ensure that their training needs are met in a timely way. Supervisors are expected to draw the relevant provisions of this Code to the attention of undergraduate and masters students that they supervise.

For postgraduate research programmes, Directors of Study are responsible and accountable for the management of any student research that they supervise. Their responsibilities are outlined in the University's *Postgraduate Research Degrees: Code of Practice*. They should ensure that their students are aware of, and conduct research in accordance with the *Postgraduate Research Degrees: Code of Practice* and this *Code of Good Research Conduct*. The UWE Bristol *Code of Practice* seeks to meet the provisions

of the QAA Code of Practice for the Assurance of Academic Quality and Standards in Higher Education (Quality Assurance Agency for Higher Education, 2004). Research degree students are expected to read and understand the *Code of Good Research Conduct* as it relates to their research.

6. RESEARCH ETHICS

6.1 Research ethics at UWE Bristol

6.1.1 UWE Bristol is committed to promoting high ethical standards in the conduct of research undertaken by its staff and students. All research involving human participants, their tissues or data requires ethical approval by the University's Research Ethics Committee (UREC) or one of its Faculty Research Ethics Committees (FRECs) in accordance with the operating procedures set out in 6.3 below. Research that involves NHS or Social Care organisations, or involves human tissues, may also require review by an NHS REC or the Social Care REC, and guidance about approval pathways in these circumstances is available at: http://www1.uwe.ac.uk/research/researchethics/applyingforapproval.aspx.

6.1.2 Some student research which is 'low risk' may be approved by the student project Supervisor in accordance with the operating procedures relating to student projects. The University regards proper ethical conduct, including appropriate ethical review, as a central tenet of good research practice which must be observed by anyone conducting research at UWE Bristol.

6.2 University obligations

The University undertakes to keep its research ethics policy and guidance up to date with regular and timely review, and keep its research ethics review process fit for purpose. The University is committed to independence in ethical review, and the appropriate composition of research ethics committees (RECs), as set out, for example, in the Economic and Social Research Council (ESRC) Research Ethics Framework. The University is also committed to adequately resourcing ethical review, including the following requirements set out in the ESRC Research Ethics Framework:

'Research organisations should provide the REC or RECs for which they are responsible with the necessary resources to carry out their responsibilities efficiently, effectively and independently. This includes, at a minimum, appropriate training for the members in the ethics, legal and scientific dimensions of the research that their REC reviews; adequate administrative and clerical support, and adequate resources, including recognition in workload planning and the allocation of academic responsibilities, to carry out reviews with due care and attention; and to attend meetings of the REC.'

6.3 Research ethics policy and procedures and researcher obligations

The UWE Bristol research this policy, procedures and guidance can be found at: http://www1.uwe.ac.uk/research/researchethics

These pages give information about how to apply for ethical approval, including information about how to apply to the National Research Ethics Service (NRES) where that is necessary. It is a requirement of all those conducting or supervising research at the University that they familiarise themselves with the Ethics Policy and guidelines, and follow the required procedures.

7. RESEARCH DATA MANAGEMENT

7.1 Research data is all data arising as a result of a research project. This includes raw data, analysed data, and also data which arise during the course of research which is later translated into another form or destroyed, such as audio and video recordings. Data can take many forms, including paper and electronic records, recordings or products arising from the research. Research data management refers to all aspects of data management concerned with research, from developing a data management plan at the inception, through the life of the project, to archiving and making available, where appropriate, of research data. Inadequate attention to research data management can result in serious research misconduct, including breaches of confidentiality, or errors in reported data. For this reason the University regards research data management as an important aspect of good research practice.

7.2 The University's Research Data Management guidance can be found at: http://www1.uwe.ac.uk/library/usingthelibrary/researchers/manageresearchdata/managingresearchdata/projectoutputs/workpackage4.aspx

7.3 The University's Guidelines for Staff and Students on Research Data Protection and Data Security can be found at: http://www.uwe.ac.uk/finance/sec/dp/intranet/docs/F29.pdf.

8. COMMUNICATING THE OUTCOMES OF RESEARCH

8.1.1 Good practice in publication

8.1.1 The University considers it an important priority that high quality research is disseminated to relevant audiences and supports the objectives of UWE Bristol 2020 strategy of maximising impact and benefiting society and the economy. The University expects researchers (authors) to demonstrate honesty and integrity in disseminating the results of research and knowledge exchange activities. Authors are accountable for the content of their outputs and be mindful that scientific misconduct in publication damages the reputation of individuals and their workplace institutions. Evidence of author accountability extends to the disclosure of individuals' roles in the preparation of a manuscript which must also be detailed (see below).

A publication which is similar to other publications derived from the same research must contain appropriate reference to the other publications. Publications derived from a large programme of research (or doctoral thesis) when submitted must all be uniquely differentiated in terms of the data presented and messages contained within, there should

be no evidence of replication. It is also good practice to appropriately reference previous publications by the research team to demonstrate how the current publication is credibly adding to the body of knowledge.

Authors must never submit a manuscript to more than one publisher at a time. A manuscript that has been rejected by one publisher may be resubmitted to a second choice journal. Researchers should avoid fragmenting research simply to maximise the number of articles for publication. Authors should be mindful of the varying forms of what may constitute publication, including open access publication, social media, drafts of articles submitted for publishing elsewhere, or the lodging of a thesis in the library.

8.1.2 In studies involving human participants, participants should, where appropriate, be informed of how they may access the outcomes of the study.

8.1.3 The University is strongly committed to achieving impact with its excellent research and considers it good practice to target communication at a range of relevant audiences as well as the more traditional academic outputs. Researchers should make all reasonable attempts to maximise the impact of their work, whether this involves the academic community, potential users or the public. This may for example include oral presentations, magazines and the use of social media.

8.1.4 It is necessary good practice to declare any conflicts of interest in relation to a publication, such as funding or relationships with companies with a commercial interest in the findings. Researchers must avoid libellous or defamatory statements.

8.1.5 The University expects anyone listed as an author on a paper to have made a substantial contribution to the design, conception, or execution of the project and writing of the manuscript or other form of output. All authors should accept personal responsibility for ensuring that they are familiar with the contents of the output and they are able to identify their unique contribution. The roles and contributions of formal collaborators and others who directly assist or indirectly support the research must be properly acknowledged. It should apply when publishing research findings, and when making public statements regarding the research. Failure to acknowledge properly all direct or indirect contributions made by other persons may be considered as poor research practice or possibly research misconduct. Thanks must be attributed, where appropriate, to the body or bodies funding the project (some funders require formal acknowledgement with specific requirements for information to be included, and these must be complied with). Some funders request advance notice of media coverage, and this should be complied with wherever possible.

Useful guidance can be obtained from the Committee on Publication Ethics (COPE) International Standards for Authors:
http://publicationethics.org/international-standards-editors-and-authors

8.2 Authorising publication

The person with overall responsibility for a research project or programme in UWE Bristol, typically the Project Manager, should authorise the publication of results, and researchers should not proceed without such authorisation (subject to any alternate contractually

agreed arrangements, see below). Authorisation should cover both the content of the publication and intended place of publication. All co-authors should normally approve the proposed publication output in the form submitted (and, if relevant, as later revised) before submission. In the case of research that has been funded by an external body the Project Manager should ensure that any requirements or expectations of the funding body with regard to notification prior to publication, and open access requirements, are met. It may be the case that, in relation to collaborators from outside of the University, contractual arrangements in relation to publication will be appropriate. This should be considered at the outset of a project, and where in place, complied with.

8.3 Open Access

The University will comply with the RCUK Policy on Open Access, HEFCE's 'Policy for open access in the post-2014 Research Excellence Framework', and other funders' requirements in this regard, and requires authors to do so. Where permitted by the Publisher, the University additionally requires authors to also deposit a version of the full text in the UWE Bristol Research Repository. This provides world wide open-access to the University's research output, increasing visibility and allowing greater discovery of expertise in the global research community. The University's Policy and guidance on Open Access can be found at:
http://www1.uwe.ac.uk/library/usingthelibrary/researchers/openaccessandapcs.aspx

9. RESPONSIBILITY FOR SUBMISSION OF RESEARCH APPLICATIONS TO EXTERNAL FUNDERS

9.1 Responsibilities in relation to research applications

9.1.1 The University supports and encourages its staff to seek external funding for their research activities and accepts funding for research from a wide and diverse portfolio of sources, in accordance with University Financial Regulations and Ethics Policy. All applications and proposals made, and contracts and awards accepted relating to external research funding, are done so on behalf of and in the name of the University, in accordance with the University's Financial Memoranda and Project Approval (PA) process (see *FIN025 Project Approval and Submission Procedures and Guidelines,* September 2011).

9.1.2 It is the responsibility of the UWE Bristol Project Manager (the senior person responsible for the project), normally the Principal Investigator, to ensure that in relation to any application the University's proposal approval process is engaged with adequately and completed in a timely way. It is also the responsibility of the Principal Investigator on an application to ensure that the proposal is of an adequate quality, and that the research proposed would meet legal, regulatory and ethical standards.

9.1.3 Advice should be sought at an early stage from the Research Governance Manager for staff and MPhil/PhD student research proposals where:

- the University should act as Sponsor for research under the Department of Health Research Governance Framework;
- the research is a clinical trial (including trials of interventions);
- the research involves the use of human tissue, vulnerable groups including children, offenders and victims , or groups likely to fall under the Mental Capacity Act,
- or involves significant international dimensions in relation to research governance.

Advice is also available to staff researchers who are drafting research applications via the University's research support teams, for example in relation to funders' requirements, ethical, legal and regulatory aspects, and contractual and intellectual property issues.

9.2 Responsibilities in relation to decisions about acceptable sources of funding

It is recognised that there may be circumstances where ethical issues can arise when considering whether or not to apply for or accept funding for research from particular sources. It is important that the interests of staff and the interests and the reputation of the University as a whole are safeguarded when seeking and accepting external funding (see *FIN025 Project Approval and Submission Procedures and Guidelines,* September 2011). While it is outside the scope of this guidance to provide an exhaustive list of specific examples of what may or may not be acceptable sources of funding, circumstances where the following may occur would cause concern and further advice should be sought from the Head of Research, Business and Innovation in the first instance where:

i) a third party is involved and the original source of the funding is unknown or cannot be identified;

ii) a funding organisation wishes to place inappropriate restrictions on publication and exploitation of research;

iii) a funding organisation is attempting to exert pressure to suppress or alter the results of the research which do not further, or may damage, its interests, commercial or otherwise;

iv) a member of staff may have an interest in a funding organisation;

v) Where accepting funds from one source may compromise the ability of the University to apply for or accept funds from another source;

vi) the practices of a potential sponsor or their motives in commissioning the research may conflict with the mission, aims and objectives of the University;

vii) the ethical and political implications of undertaking research or accepting research funding from a particular source could result in negative publicity and/or may seriously damage the reputation of the University;

viii) the conduct of research may harm or place at undue risk members of the public, participants or staff.

Further advice and guidance on any such ethical considerations relating to the application for, or acceptance of, external funding for research activities should be referred to the Head of Research Business and Innovation in the first instance who may seek advice from the Senior Management Team and/or the University Research Ethics Committee, and/or refer the matter to the Vice Chancellor.

10. RESPONSIBILITY FOR INTERNALLY FUNDED RESEARCH

The University applies the same standards of good research practice to research which is funded as part of the University's own internally managed research funding, or as part of personal research and scholarship, or research conducted to inform the University's operations. The governance structure and responsibilities for internally funded research are the same as for externally funded research.

11. PEER REVIEW

The University recognises that peer review is an integral part of the system of assurance of good research practice in the UK. As such, UWE Bristol encourages its staff researchers to take part in internal and external peer review activities. More detailed guidance is at **Annex 5.** The University has set in place an internal peer review College, and it is the expectation that researchers will make use of this resource where internal peer review is a funder requirement, and are encouraged to do so for other research proposals.

12. CONFLICTS OF INTEREST

12.1 The University requires its staff and students to abide by the seven principles of public life as first set out in 1995 by Lord Nolan and promoted by the Committee on Standards in Public Life - selflessness, integrity, objectivity, accountability, openness, honesty, leadership (Committee on Standards in Public Life, 1995).

12.2 The University expects its staff and students engaged in research to identify and declare conflicts of interest which may affect the research in any way. Examples of conflicts of interest which researchers might encounter include externally peer reviewing a proposal from a close collaborator, friend or family member, or potentially prejudicial involvement with other organisations, such as companies. Examples of conflicts which the University might encounter in relation to research include funding sources which might affect the receipt of funding from other organisations, conflict of interest in ethical review, or members of committees having conflicts in relation to research decisions. Advice about potential conflicts of interest in research is available from the Research Governance Manager, as is a model Declaration of Interests form, which can be used where occasion demands.

13. HEALTH AND SAFETY

13.1 Health and safety obligations

The University strives for a positive health and safety culture and requires good health and safety management in all aspects of its activities. Research may involve potentially hazardous situations, e.g. working with vulnerable people, or the use of potentially harmful equipment, substances or organisms. The safety of participants and of researchers and other personnel must be given priority at all times, and health and safety regulations must be strictly observed. Researchers should be familiar with, and comply with, the University's health and safety Policy and Standards (see the University's Health and Safety website: www.uwe.ac.uk/healthandsafety) and codes relevant to their research, such as contained in the staff and student handbooks. Researchers should seek to embed health and safety appropriately throughout the life course of the project, and regularly review this issue, for instance at research project meetings. Health and safety breaches may need to be reported to the Health and Safety Executive, and may constitute research misconduct or misconduct, or be subject to criminal proceedings.

13.2 Required training and support

The University will provide training on health and safety, and there is a clear expectation that all staff and MPhil/ PhD students will attend appropriate courses. In particular, all researchers conducting research where risk assessment is necessary must attend a general risk assessment course and specific risk awareness courses as appropriate to their research, e.g. Control of Substances Hazardous to Health (COSHH) training. Failure to attend required training will be regarded as a disciplinary matter. Advice on health and safety can be obtained from the University Health and Safety Manager. The University expects research risk assessment to form a part of undergraduate and masters level courses where the student will conduct a research project. Advice on risk assessment can be obtained via the Health and Safety Team.

13.3 Further Guidance

Health and Safety guidance for research is embedded within the University's general provisions for health and safety. Further guidance on health and safety requirements and advice relevant to research can be found at **Annex 6**.

14. FINANCIAL PROBITY

The University requires researchers to be open and honest in all financial and commercial matters relating to research and its funding. In particular researchers are required to:

- Follow the University's Financial Procedures in the development and execution of the research, including requirements to keep clear and accurate financial records (*FIN002 Financial Regulations, March 2013)*.

- Give participants information on how and by whom the research is funded, including any benefits which will accrue to researchers and/or their departments, or to the funders.

- Not offer payments to research participants at a level which could induce research participants to take risks that they would otherwise not take, or to volunteer more frequently than is advisable or against their better interests or judgement.

15. INTELLECTUAL PROPERTY

15.1 The University's detailed policy on intellectual property can be found at: http://www1.uwe.ac.uk/aboutus/policies.aspx ('the Policy'). **All matters around intellectual property should be determined and interpreted in light of the Policy; what follows is only an overview:**

Almost all research activity will involve some form of intellectual property. The University strongly welcomes collaborative arrangements with partners, and considers clear and documented arrangements between partners in relation to intellectual property to be a fundamental part of building, supporting and maintaining mutually beneficial collaborations. The University therefore requires all research where intellectual property is involved to be subject to adequate legal arrangements and agreements. Intellectual property ('IP') is the general term for intangible property rights which are a result of intellectual effort. IP rights ('IPR') are the legal recognition of the ownership of IP. In English law, IPR includes:

- Copyright, performance rights, database rights, patents, design rights, registered design rights, trademarks, know-how and confidential information.

Some of the above IPR exist as a matter of course, others, such as patents and registered design rights, must be applied for before the protection that they provide will exist. In relation to patent applications it is important to recognise that premature disclosure through publications or discussions and the incorrect listing of inventors can lead to invalidity and loss of rights. Advice on the protection and exploitation of IP can be obtained from the Technology Transfer Manager in Research, Business and Innovation ('RBI') (tech.transfer@uwe.ac.uk).

15.2 The University requires that the ownership and potential exploitation of IP is clearly defined before the commencement of any research. These arrangements can only be put in place with the involvement and approval of the University's Commercial Director and the Director of RBI. The Technology Transfer Manager in RBI should be contacted in the first instance. Where the research involves any party outside of the University (such as another research institution or industry partner) then an appropriate legal agreement must be entered into. The Contracts & Legal Team within Commercial Services should take the lead on the negotiation of any such agreement with input and guidance from the Technology Transfer Manager on IP terms where appropriate. Any such agreement must be signed by an authorised signatory on behalf of the University (this will usually be a

Deputy Vice-Chancellor). Researchers must inform RBI of any IPR that does arise from externally funded research and should also inform the research funder.

It is important to the University that individuals do not infringe third party IPR in their work. Researchers must not use third party IPR in research without appropriate permissions and licences from the owner(s) of that IP. Where licences or permissions are granted, they must be in writing and should be put in place with assistance from the Contracts & Legal Team and, where appropriate, the Technology Transfer Manager.

15.3 The University owns IP, IPR, products and materials, unless specifically excluded under the Policy. In most circumstances, the University does not claim ownership of scholarly works (such as journal articles, conference papers, works of art etc.) and ownership of these works usually resides with the author(s). Please note that there are exceptions, and the Policy on intellectual property should be reviewed when in doubt.

IPR created by undergraduate students and postgraduate students on taught courses will be owned by the student and not by the University, except where:

a) The University specifically negotiates and agrees otherwise with the agreement of the student (this may apply for example in the case of final year projects, or projects involving third parties, external funding, or work requiring use of pre-existing University-owned IP). A student “Assignment of Intellectual Property Rights Agreement” will need to be in place.

b) The student is employed by the University and the IP, IPR and/or material arises from that employment.

IPR arising from postgraduate study/research will be owned by the University if it relates to or arises from an existing University project, involves significant use of pre-existing University-owned IP, involves funding or collaboration with third parties or is specifically negotiated between the University and the postgraduate student in other circumstances. A student “Assignment of Intellectual Property Rights Agreement” will need to be in place.

16. INSURANCE, LIABILITY AND NEGLIGENCE

16.1 Ensuring that appropriate arrangements are in place to cover costs if something goes wrong, including compensation for research subjects, is an important aspect of good research practice. The University’s Professional Indemnity insurance covers staff and students against liability for damages and costs and expenses due to neglect, error or omission *committed in good faith*, subject to the insurance policy's Limit of Indemnity. The University is therefore indemnified, up to a certain limit, for an employee undertaking research work, provided the employee acts within the scope of her/his employment, on approved research work undertaken for the University.

16.2 For students, cover applies for a student working within the terms and conditions of the programme of study, under appropriate supervision, and where the student complies with Supervisor instructions.

16.3 For public research partners, the following link provides further information on insurance cover: http://www.uwe.ac.uk/finance/sec/insurance/intranet/docs/UniversityInsuranceAndVolunteers.pdf

16.4 The University's insurance policies exclude cover for research involving nuclear waste, nuclear fuel, and hazardous properties of any explosive nuclear assembly or nuclear component. In addition, there are restrictions on the cover provided under the University's insurance policy for some research involving aerospace, aviation, pollution or medical work (including clinical trials). It is imperative that at the Project Approval (PA) stage details of research involving these areas are forwarded well in advance to Financial Services for advice (see also *Finance Regulation 17 – University of the West of England, Bristol Insurance Guidelines* for a summary of the cover available to both staff and students).

16.5 *Deliberate* negligent acts or deliberate errors (for example, deliberate inaccuracies in data or publications) are not covered by the University's insurance policy and any litigation fees and court compensation awards would have to be paid by the University. Within the University's staff conduct policy, serious negligence that causes or might cause unacceptable loss, damage or injury is considered to be a form of gross misconduct and would be likely to lead to formal disciplinary action and possible dismissal (see *Procedure for dealing with matters of Conduct)*.

17. LEGAL AND REGULATORY FRAMEWORKS

17.1 It is a fundamental underpinning of good research practice that researchers operate within the law and regulation. *The Concordat to Support Research Integrity* makes clear that researchers are responsible for ensuring that they have up to date knowledge in this respect, whilst recognising that this landscape will change over time:

'The frameworks that regulate research practice will change over time. Ethical concerns evolve and new legal obligations and professional standards are designated. There will, in many cases, be an international dimension. Therefore, it is not helpful to provide a single, definitive outline of the frameworks, standards and obligations to which research must conform. However, all parties have a responsibility to ensure they have up-to-date knowledge of those that apply to their work'.

17.2 The University requires all staff and students to make themselves aware of, and comply with, the law and regulation, and will support researchers in doing so. A failure to operate within the law and regulation may be considered as misconduct, and/or research misconduct, and/or be subject to criminal proceedings. Advice can be obtained via the Research Governance Manager.

17.3 As the Concordat suggests, it is not possible, nor even sensible, to be prescriptive in relation to the many legal and regulatory frameworks, codes and standards that

researchers are expected to comply with across different areas of research. However, some key legislation and regulation for research is as follows:

- Legislation relating to children
- Clinical trials legislation
- Data Protection Act 1998
- Dual use research
- Equality Act 2010
- Freedom of Information Act 2000
- Genetic modification legislation
- Health and Safety at Work Act 1974
- Human Tissue Act 2004
- Intellectual Property legislation
- The Mental Capacity Act 2005
- Radiation legislation
- Safeguarding/DBS requirements

Further detail in relation to this legislation is outlined at **Annex 7**.

18. EQUALITY AND DIVERSITY

18.1 The University is committed to supporting, developing and promoting equality and diversity in all of its practices; it aims to establish an inclusive culture, free from discrimination, harassment, and victimisation. The University's Equality and Diversity Policy sets out the legislative context, and UWE Bristol's requirements, and can be found at: http://www1.uwe.ac.uk/aboutus/visionandmission/equalityanddiversity/policiesandprocedures.aspx

18.2 Researchers should take account of the University's Equality and Diversity Policy in all aspects of their work, including the recruitment of personnel associated with research.

19. SUSTAINABILITY

The University is strongly committed to sustainability. UWE Bristol is committed to addressing the issues arising from the imperative for sustainable development. Simply put,

this means playing our part in ensuring we support the global sustainability agenda for a strong, healthy and just society living within environmental limits. We have developed policies, plans and strategy to support sustainable development and implemented these into the business of the University both in our educational role and in the management of our estate. This is overseen by a high level University Sustainability Board and action devolved to Services and Faculties to embed sustainable development into our business decision making. The University expects its researchers to be mindful of sustainability issues which arise in the context of research. The University's Environmental Policy and sustainability documents can be found at:
http://www1.uwe.ac.uk/aboutus/visionandmission/sustainability/sustainabilityaction/sustainabilitydocuments.aspx

20. PUBLIC INTEREST DISCLOSURE ('WHISTLEBLOWING')

20.1 The Public Interest Disclosure Act 1998, gives legal protection to employees against being dismissed or penalised by their employers as a result of publicly disclosing certain serious concerns. The University's Policy and Procedures for Disclosure ('Whistleblowing') can be found at**:**
http://www.uwe.ac.uk/finance/purchasing/documents/Public Disclosure Policy[1].pdf

20.2 It should be noted that UWE Bristol seeks to provide a supportive environment for those with research misconduct concerns, and issues may initially be raised informally in confidence with the relevant Associate Dean or Head of Professional Service or the Research Governance Manager. Concerns about research misconduct should normally be raised formally by means of the University's Research Misconduct Policy (see below). However, concerns about research misconduct, as for any other form of conduct, may be made via the Public Interest Disclosure Act (www.gov.uk/whistleblowing) where that is deemed necessary by the complainant. In this case, concerns should be expressed in writing to the Vice Chancellor. Following initial investigation, the University's research misconduct procedure may then be invoked if appropriate.

21. RESEARCH MISCONDUCT

Research misconduct, as defined in the Universities UK *Concordat to Support Research Integrity*, is behaviour or actions that fall short of the standards of ethics, research and scholarship to ensure that the integrity of research is upheld. The University is committed to ensuring that research is conducted to the highest scientific and ethical standards. Research misconduct, in all its various forms, is taken extremely seriously as it devalues research, and the reputations of both UWE Bristol and its researchers. The University has developed, and will follow, rigorous procedures for the investigation of research misconduct whenever it is alleged. The University's position on research misconduct is covered by the University Research Misconduct Policy and Procedures. This document is at **Annex 8**.

REFERENCES

Referenced University Policies

1. Postgraduate Research Degrees: Code of Practice: http://www2.uwe.ac.uk/services/Marketing/research/pdf/graduate-school/code_of_practice_aug_2011.pdf

2. Research Ethics Policy and Procedures (including the Research Ethics Policy, the Operating Procedures for the Review of Student Projects and the Operating Procedures for Human Tissue Research: http://www1.uwe.ac.uk/research/researchethics/policyandprocedures.aspx

3. FIN029 Research Data Protection and Data Security: Guidelines for Staff and Students: http://www.uwe.ac.uk/finance/sec/dp/intranet/docs/F29.pdf

4. Procedure for the Investigation of Research Misconduct: http://rbi.uwe.ac.uk/ResearcherGuidance.asp

5. UWE Bristol Open Access Policy: http://www1.uwe.ac.uk/library/usingthelibrary/researchers/openaccessandapcs.aspx

6. FIN025 Project Approval and Submission Procedures and Guidelines: http://www.uwe.ac.uk/finance/fserv/finRegs/intranet/finRegs/fin25/index.shtml

7. Health and Safety Policy: www.uwe.ac.uk/healthandsafety

8. FIN002 Financial Regulations: http://www.uwe.ac.uk/finance/fserv/finRegs/intranet/finRegs/fin2/index.shtml

9. Finance Regulation 17 – Guidelines on Insurance Issues for Staff: http://www.uwe.ac.uk/finance/sec/insurance/intranet/docs/InsGuide.pdf

10. UWE University Insurance Cover and Volunteers: http://www.uwe.ac.uk/finance/sec/insurance/intranet/docs/UniversityInsuranceAndVolunteers.pdf

11. Procedure for dealing with matters of Conduct: https://docs.uwe.ac.uk/ou/hr/IntranetContent/Conduct_Procedure_2011.pdf

12. UWE Bristol Equality and Diversity Policy and Procedures: http://www1.uwe.ac.uk/aboutus/visionandmission/equalityanddiversity/policiesandprocedures.aspx

13. UWE Bristol Sustainability Policy and Documents: http://www1.uwe.ac.uk/aboutus/visionandmission/sustainability/sustainabilityaction/sustainabilitydocuments.aspx

14. UWE Bristol Public Disclosure Policy: http://www.uwe.ac.uk/finance/purchasing/documents/Public Disclosure Policy[1].pdf

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Integrity in a Global Environment. Imperial College Press / World Scientific Publishing, Singapore (pp 309-16). (ISBN 978-981-4340-97-7). Available online at: http://publicationethics.org/international-standards-editors-and-authors [Accessed 29 May 2014].

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Annexes

Annex 1: Research role definitions

Researchers

The Concordat uses the following definition of researchers, which can be used for the purposes of this Code of Conduct:

'Researchers: Following the UK Research Integrity Office Code of practice for research (2009), 'researchers' are defined as any people who conduct research, including but not limited to: as an employee; as an independent contractor or consultant; as a research student; as a visiting or emeritus member of staff; or as a member of staff on a joint clinical or honorary contract'

UWE Bristol regards anyone conducting research at, or under the auspices of, UWE Bristol as covered by this Code of Conduct. This includes research and professional services staff and students at any level. Whilst specific UWE Bristol procedures may differ between students and staff, the requirements necessary for good research practice apply to all. Visiting researchers (including both staff and students) are expected to comply with this Code of Conduct.

Research

The Concordat uses the following definition of research, which can be used for the purposes of this Code of Conduct:

'a process of investigation leading to new insights, effectively shared... It includes work of direct relevance to the needs of commerce, industry, and to the public and voluntary sectors; scholarship; the invention and generation of ideas, images, performances, artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction'.

This document relates to all who are conducting research under the auspices of UWE Bristol. It is the activity, research, rather than the characterisation of the person doing it (the various kinds of research staff and students) that is the core underpinning of the code.

Student

Students for the purposes of this document are all students conducting research, including undergraduate, masters and postgraduate level. Students are 'researchers' when conducting research, and this includes research projects as part of taught courses, or research conducted as part of a placement.

Supervisor

Supervisor refers to the member of staff with given responsibility for the management of a student's research. For taught courses, this will usually be the student research Supervisor (who has ultimate responsibility for the management of the research conduct of the student), although the Module or Programme Leader also has a role to play in setting the framework for the module. For MPhil/PhD students, the Director of Studies has overall responsibility, but other named supervisors will also play a role. As students are in a training position, it is the responsibility of the

student research Supervisor to ensure that students are given effective training, support and monitoring to assure good research practice.

Visiting academics

All research conducted at or under the auspices of UWE Bristol is covered by this Code of Conduct. This means that visiting academics and students will be expected to comply with UWE Bristol requirements in relation to good research practice.

Public Research Partners

Where members of the public are involved as researchers in research conducted at or under the auspices of UWE Bristol, it is a requirement that they comply with the provisions of this code. Public research partners take various forms and have various roles within research projects, and could include patients, potential patients, carers and people who use health and social care services as well as people from organisations that represent people who use services. A further guidance note will be produced (2015) to set out the arrangements for such involvement at UWE Bristol.

Terminology used to describe the lead investigator

Various terms are used to describe the lead investigator in a research project, with different implied responsibilities. The following are some common terms.

Project Manager: All UWE Bristol research, whether internally or externally funded, must have a Project Manager, who is responsible for the conduct of the research, and within UWE Bristol, this person will normally be the Principal Investigator or lead applicant. For research led by a collaborating institution, there still needs to be a UWE Bristol Project Manager to lead for the University in relation to the project. For student research, the Project Manager is the Director of Studies (MPhil/PhD) or student research Supervisor (taught course research). For research conducted as part of personal research and scholarship, this is the individual researcher undertaking this activity.

Principal Investigator: This term is often used by funding bodies (who also sometimes use ‘Lead applicant’), and this person will be the first named applicant on a research application, and will be expected to take overall responsibility for the research. This term is also used, in a different way, by the Department of Health Research Governance Framework to describe the person responsible for a research project at a given site.

Chief Investigator: This is the term used by the Department of Health Research Governance Framework to describe the person with overall responsibility for a research project. In multi-site projects, there may also be Principal Investigators at individual sites. This would not normally be a student.

Research Support Staff: Researchers are supported in conducting research by a range of research support staff, both project specific and university central support teams, including Professional Services and Technical Support staff. Research support staff are expected to observe high standards of integrity in their work.

Annex 2: Concordat to Support Research Integrity – key employer and researcher requirements

Key researcher requirements

Researchers will**:**

- understand the expected standards of rigour and integrity relevant to their research
- maintain the highest standards of rigour and integrity in their work at all times
- ensure that all research is subject to active and appropriate consideration of ethical issues
- comply with ethical, legal and professional frameworks, obligations and standards as required by statutory and regulatory authorities, and by employers, funders and other relevant stakeholders
- act in good faith with regard to allegations of research misconduct, whether in making allegations or in being required to participate in an investigation
- handle potential instances of research misconduct in an appropriate manner; this includes reporting misconduct to employers, funders and professional, statutory and regulatory bodies as circumstances require

Key employer requirements

Employers of researchers are responsible for**:**

- collaborating to maintain a research environment that develops good research practice and nurtures a culture of research integrity
- supporting researchers to understand and act according to expected standards, values and behaviours, and defending them when they live up to these expectations in difficult circumstances
- having clear policies on ethical approval available to all researchers
- making sure that all researchers are aware of and understand policies and processes relating to ethical approval
- supporting researchers to reflect best practice in relation to ethical, legal and professional requirements
- having appropriate arrangements in place through which researchers can access advice and guidance on ethical, legal and professional obligations and standards

- to maintain a culture that nurtures good practice. A research environment that helps to develop good research practice and embeds a culture of research integrity should, as a minimum, include:
    - clear policies, practices and procedures to support researchers
    - suitable learning, training and mentoring opportunities to support the development of researchers
    - robust management systems to ensure that policies relating to research, research integrity and researcher behaviour are implemented
    - awareness among researchers of the standards and behaviours that are expected of them
    - systems within the research environment that identify potential concerns at an early stage and mechanisms for providing support to researchers in need of assistance
- embed these features in their own systems, processes and practices
- work towards reflecting recognised best practice in their own systems, processes and practices
- implement the Concordat within their research environment
- identify a senior member of staff to oversee research integrity and to act as first point of contact for anyone wanting more information on matters of research integrity
- have clear, well-articulated and confidential mechanisms for reporting allegations of research misconduct
- have robust, transparent and fair processes for dealing with allegations of misconduct that reflect best practice ensure that all researchers are made aware of the relevant contacts and procedures for making allegations
- act with no detriment to whistleblowers making allegations of misconduct in good faith
- provide information on investigations of research misconduct to funders of research and professional and/or statutory bodies as required by their conditions of grant and other legal, professional and statutory obligations
- support their researchers in providing appropriate information to professional and/or statutory bodies
- provide a named point of contact or recognise an appropriate third party to act as confidential liaison for whistleblowers or any other person wishing to raise concerns about the integrity of research being conducted under their auspices. This need not be the same person as the member of staff identified to act as first point of contact on research integrity matters
- present a short annual statement to their own governing body 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 they have in place for dealing with allegations of misconduct are transparent, robust and fair, and that they continue to be appropriate to the needs of the organisation
- provides a high-level statement on any formal investigations of research misconduct that have been undertaken

Specific funder expectations spelt out in the Concordat

Funders of research expect**:**

- **researchers** to adhere to the highest standards of professionalism and integrity
- **employers of researchers** to have procedures in place to ensure that research is conducted in accordance with standards of best practice; systems to promote research integrity; and transparent, robust and fair processes to investigate alleged research misconduct
- where research is being conducted collaboratively, and particularly within interdisciplinary or international partnerships, there needs to be clear agreement on and articulation of the standards and frameworks that will apply to the work.
- **researchers** and **employers of researchers** who receive funding to conform to the ethical, legal and professional standards relevant to their research; this includes any specific codes of practice, legal requirements and other policies that the funder identifies as part of their conditions of grant.

Annex 3: Examples of funder requirements in addition to compliance with the concordat

There is an increasing focus internationally on the need to promote research integrity. The *Singapore Statement on Research Integrity* (2010) and the Montreal Statement which followed it in 2013 highlighted the responsibilities of those involved in research, and, along with developments such as the *European Code of Conduct for Research Integrity* (2011), began to raise the profile of this issue on the global stage. This has been followed, in the UK, by the *Concordat to Support Research Integrity*, which sets out a comprehensive national framework for good research conduct and its governance. In this context, a range of funders have set out their own expectations in relation to research integrity.

The following is not an exhaustive list, and such policies may change from time to time. Researchers are required to fully familiarise themselves with such funder requirements and ensure that all research complies with the requirements of its funder.

i) RCUK requirements

In addition to the requirements set out in the **Concordat**, for research funded by research councils, the University will comply, and will expect its staff and students to comply, with the expectations of the **RCUK Policy and Guidelines on Good Research Conduct**, which are summarised as:

'All are expected to observe the highest standards of integrity, honesty and professionalism and to embed good practice in every aspect of their work. This includes the interpretation and presentation of research results and contributions to the peer review process and the training of new researchers, staff and students as well as the conduct of the research itself. That is, individual actions must comply with the principles of honesty, openness, transparency and research rigour'.

The Policy can be found at**:**
http://www.rcuk.ac.uk/Publications/researchers/grc/

ii) Individual Research Council requirements

In addition to the Concordat and the RCUK requirements, individual Research Councils also require compliance with a number of policies and guidelines which relate to their specific areas of research. These include:

- ESRC Framework for Research Ethics (2012)
  http://www.esrc.ac.uk/_images/framework-for-research-ethics-09-12_tcm8-4586.pdf
- ESRC Research Data Policy (2010)
  http://www.esrc.ac.uk/_images/Research_Data_Policy_2010_tcm8-4595.pdf

- MRC Good Research Practice: Principles and Guidelines (2012) http://www.mrc.ac.uk/Utilities/Documentrecord/index.htm?d=MRC002415
- MRC Ethics and governance guidelines http://www.mrc.ac.uk/Newspublications/Publications/Ethicsandguidance/index.htm
- BBSRC Responsibility in the use of animals in bioscience research http://www.bbsrc.ac.uk/funding/awardholders/grantholders.aspx
- BBSRC Data Sharing Policy http://www.bbsrc.ac.uk/funding/awardholders/grantholders.aspx
- NERC ethics policy http://www.nerc.ac.uk/about/policy/policies/
- EPSRC Framework of Responsible Innovation http://www.epsrc.ac.uk/research/framework/Pages/framework.aspx

iii) Department of Health Research Governance Framework for Health and Social Care

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/139565/dh_4122427.pdf

- The Research Governance Framework describes its purpose as follows:

  'This document sets out a framework for the governance of research in health and social care. The framework applies to all research that relates to the responsibilities of the Secretary of State for Health. That is, research concerned with the protection and promotion of public health, research undertaken in or by the Department of Health, its non-Departmental Public Bodies and the NHS, and research undertaken by or within social care agencies. It includes clinical and nonclinical research; research undertaken by NHS or social care staff using the resources of health and social care organisations; and any research undertaken by industry, charities, research councils and universities within the health and social care systems that might have an impact on the quality of those services.'

- The Research Governance Framework sets out clear responsibilities for organisations in relation to the role of Research Sponsor and the role of employer. It also sets out the responsibilities of researchers. The University will comply with the requirements of a Sponsor, when acting in that capacity, and an employer, and requires its staff and students to familiarise themselves with, and comply with, the researcher responsibilities.
- The Research Governance Framework is the subject of a separate UWE Bristol guidance note (forthcoming, 2015).

iv) Other funders

- Wellcome Trust set out policy and position statements for grant holders across a range of subjects.

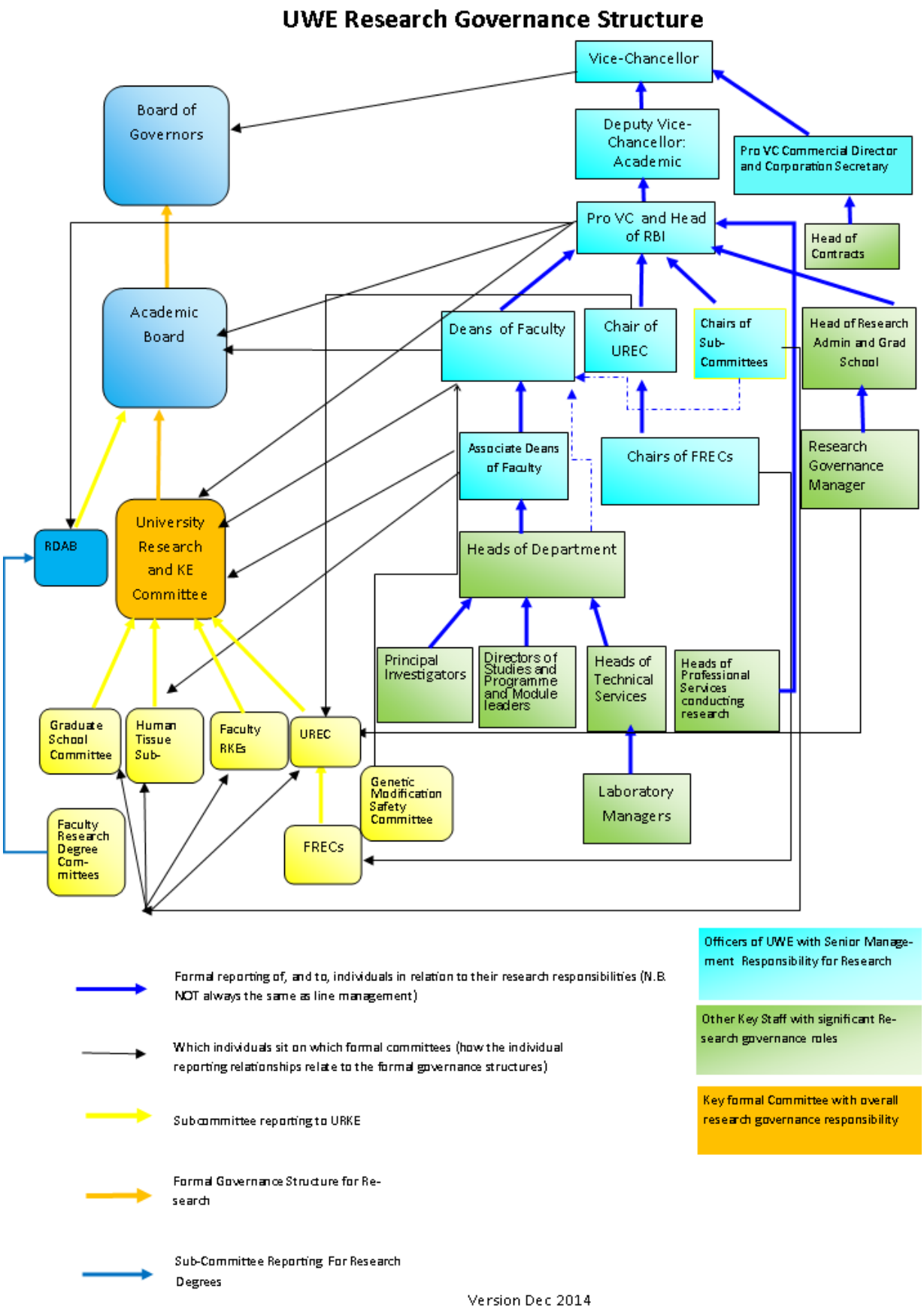
  http://www.wellcome.ac.uk/About-us/Policy/Policy-and-position-statements/index.htm

- European Commission

  Information about ethics review can be obtained at:
  http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/ethics_en.htm

  The European Code of Conduct for Research Integrity can be found at:
  http://www.allea.org/Pages/ALL/24/581.bGFuZz1FTkc.html

Annex 4: UWE Bristol Formal Research Governance Structure



Annex 5: Peer Review

- The University encourages its researchers to take part in peer review activities
- The University agrees with the UK Research Integrity Office Code of Practice for Research in regard to the following requirements upon universities, and will support its researchers in this respect:

  '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.'

- The University agrees with the UK Research Integrity Office Code of Practice for Research in regard to the following requirements on researchers, and expects UWE Bristol researchers engaged in peer review to comply with the following:

  '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.

  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.

  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'.

  It should be noted that some research funders, such as the Medical Research Council, require funded researchers to take part in peer review:

  'All researchers supported by the MRC are expected to participate in peer review, acting as reviewers for meetings, journals, grant applications and the ethical review of research proposals at a level appropriate to their experience and training'

- The University also sees considerable advantages in relation to improving research quality and practice of researchers engaging in internal peer review. This may be to assist colleagues with proposals to external funders, or to offer advice in relation to internally funded projects. The University strongly recommends that researchers consider some form of internal peer review for their work, and that Faculties, Departments and Research Centres should support this activity.

Annex 6: Health and Safety Procedures and Guidance

All University health and safety policies and standards must be followed where applicable. University health and safety policies, standards and guidance can be found at: www.uwe.ac.uk/healthandsafety

Whilst subject to all health and safety policies and procedures relevant to staff and students generally, there are a number of regulations and procedures which apply particularly to research, including:

(i) Risk assessment

In order to ensure that research risks are properly managed, it is necessary to carry out a risk assessment. All research projects should conduct an appropriate risk assessment, and in some circumstances each individual researcher needs to complete a risk assessment. It is important that this process is not seen as a 'form filling' exercise, but is fully engaged with to identify relevant risks and develop risk management strategies in relation to those risks. Project Managers are responsible for ensuring all necessary risk assessments are completed. In the case of students, the risk assessment should be seen as part of research training, and as a collaborative activity between the student and their research supervisor, although the supervisor is formally responsible for the risk assessment. Identified risk management strategies must be carried out, and a failure to do so may constitute misconduct, and/or research misconduct. Risk assessments should also be regarded as 'living documents', responsive to changes in risks as the research develops.

Information about the regulations, and the requirements with which UWE Bristol researchers must comply can be found on the 'standards' page of the university health and safety intranet pages (HSS14), along with the appropriate forms. In addition, Faculties and Professional Services may have their own guidelines and requirements, for example requirements for working in laboratories. Faculties and professional services are responsible for making clear what such requirements are, if any, and for supporting staff and students in their compliance.

(ii) Accident reporting

An accident is defined as:

*"An unplanned or unexpected event, or series of events, that may result in **personal injury** or **ill health**, damage to property or none of these. An accident where there has been no personal injury or ill health is a **near-miss**."*

Accidents and near misses can occur as part of research. In all instances these must be reported on the University's Accident Report Form. All accidents and near misses are subject to an internal investigation to identify the immediate and any underlying causes and the outcome from an investigation may require the review and update of the research project risk assessment. The University is also required to report certain more serious

accidents and near misses to the Health and Safety Executive who may undertake an additional investigation.

Information about the requirements with which UWE Bristol researchers must comply and the accident reporting procedure can be found on the accidents' page of the university health and safety web pages: (http://imp.uwe.ac.uk/imp_public/displayentry.asp?URN=9542&rp=listEntry.asp&pid=4).

(iii) Control of Substances Hazardous to Health Regulations 2002

Information about the regulations, and the requirements with which UWE Bristol researchers must comply can be found on the 'standards' page of the university health and safety web pages (HSS10).

(iv) Genetically Modified Organisms (Contained Use) Regulations

Information about the regulations, and the requirements with which UWE Bristol researchers must comply can be found on the 'standards' page of the university health and safety web pages (HSS22).

Information about the University's health and safety requirements regarding GM can also be found on the HAS Health and Safety intranet pages:

https://intranet.uwe.ac.uk/sites/hlshas/Pages/Genetically-Modified-Organisms.aspx.

GM research at UWE Bristol is governed by the Genetic Modification Safety Committee. Further details and guidance on conducting GM research at UWE Bristol can be obtained from the committee chair or the Biological Safety Officer. Their details can be accessed via the HAS Health and Safety intranet pages, using the link given above.

(v) Lone Working Safety Guidance

UWE Bristol guidance on lone working can be found in the Lone Worker Safety Guidance Note at: http://imp.uwe.ac.uk/imp_public/displayentry.asp?URN=1026&rp=listEntry.asp

Annex 7: Some key legislation and regulation affecting research

(i) Legislation relating to Children

Significant legislation governs the protection of children in the UK. Whilst much of this is not research specific, it sets the context for research with children. The NSPCC have produced a factsheet which provides an introduction to legislation which protects children and young people in the UK. This can be found at:
http://www.nspcc.org.uk/Inform/policyandpublicaffairs/uk-legislation_wda100749.html

Images of children should be used with greatest of care. Use of images of children involve significant ethical issues must be fully considered (see the UREC Guide on working with children). There are also clear legislative requirements. The following link provides further information about legislation in relation to indecent photographs of children:
http://www.cps.gov.uk/legal/h_to_k/indecent_photographs_of_children/#a02

The following link gives advice in relation to publication of images of children:
http://www.nspcc.org.uk/Inform/research/briefings/Photographing-children_wda96007.html

The Medical Research Council have produced guidance on medical research involving children, which covers some legislation requirements concerned with legal informed consent. The Guidance can be found at:
http://www.mrc.ac.uk/documents/pdf/medical-research-involving-children/

(ii) Clinical trials legislation

- Information about legislation relating to clinical trials can be found on the MHRA website:
  http://www.mhra.gov.uk/Howweregulate/Medicines/Licensingofmedicines/Clinicaltrials/Legislation/Legislation/index.htm

- In order to obtain a favourable opinion from a Research Ethics Committee through the NRES system, it is a requirement that clinical trials should be registered in a publicly accessible database, and failure to register will be regarded as a serious breach of good research practice. It should also be noted that a failure to register would significantly impede the ability to publish. The following guidance is taken from the NRES web pages.

  'What types of research does this apply to?

  This requirement will apply to clinical trials which, for the purposes of registration, are defined as the first four categories on the Integrated Research Application System (IRAS) question 2:

  - *Clinical trial of an investigational medicinal product (CTIMP),*
  - *Clinical investigation or other study of a medical device,*

- *Combined trial of an investigational medicinal product and an investigational medical device,*
- *Other clinical trial to study a novel intervention or randomised clinical trial to compare interventions in clinical practice.'*

'Accepted registers

These include:

- *EU Clinical Trials Register (http://www.clinicaltrialsregister.eu). This register is linked to the EudraCT register, which is mandatory for all CTIMPs in patients authorised on or after 1 May 2004.*
- *International Standard Randomised Controlled Trials Number (ISRCTN) Register. This register accepts registration of randomised controlled trials and any other research study designed to assess the efficacy of health interventions in the human population.*
- *ClinicalTrials.gov. This is a register of studies in the United States and around the world.'*

Further guidance can also be found at:
http://www.hra.nhs.uk/documents/2013/10/clinical-trial-regulation-guidance.pdf

- In addition to such external registration, all UWE Bristol clinical trials, including non CTIMP trials of interventions, must be registered on the UWE Bristol Clinical Trials Register via the Research Governance Manager.

- Additional guidance about good research practice in clinical trials is provided in the MRC's 'Guidelines for Good Clinical Practice in Clinical Trials', which can be found at: http://www.mrc.ac.uk/Utilities/Documentrecord/index.htm?d=MRC002416

It should be noted that there is new EU Clinical Trials regulation that will apply from 28 May 2016. This is intended to streamline the authorisation process. Further information can be found at:
http://eur-lex.europa.eu/legal-content/EN/TXT/?qid=1401366187088&uri=OJ:JOL_2014_158_R_0001

(iii) Data Protection Act 1998

- The University requires those conducting research to comply with the Data Protection Act.

- The University's data protection policy can be found at:
http://www1.uwe.ac.uk/aboutus/policies

and further guidance can be found at**:** http://www.uwe.ac.uk/finance/sec/dp/

- The Data Protection Act relates to the protection and use of personal information. In terms of research, this is most likely to be personal information about external

research subjects. However, it should be noted that information held as part of the University's formal record about students and staff is also covered by the Act, and any proposed research use must be carefully considered in terms of legal probity, as well as ethical approval. The protection of personal data includes the need for secure storage, as well as proper consent for access and use.

- Guidance about data protection in relation to filming in public spaces can be found at: http://www.jisclegal.ac.uk/ManageContent/ViewDetail/ID/3217/Is-it-okay-to-film-people-in-public-places-21-August-2013.aspx

(iv) Dual use research

A definition of dual use research from McLeish and Paul (2004) is given as follows:

'Dual use is a term that is applied to the tangible and intangible features of a technology that enable it to be applied to both hostile and peaceful ends with no, or only minor, modifications'.

Dual use technology is subject to a range of National and transnational controls, and researchers should ensure that they are compliant with the relevant legislation and regulation. Information about the requirements for the UK, Europe and the USA can be found at the links below:

http://ec.europa.eu/trade/import-and-export-rules/export-from-eu/dual-use-controls/

https://www.gov.uk/uk-strategic-export-control-lists-the-consolidated-list-of-strategic-military-and-dual-use-items

(v) Equality Act 2010

The following is taken from: https://www.gov.uk/equality-act-2010-guidance:

The Equality Act 2010 legally protects people from discrimination in the workplace and in wider society.

It replaced previous anti-discrimination laws with a single Act, making the law easier to understand and strengthening protection in some situations. It sets out the different ways in which it's unlawful to treat someone.

(vi) The Freedom of Information Act 2000

The following is taken from the Information Commissioner's Office Website (http://ico.org.uk):

The Freedom of Information Act 2000 provides public access to information held by public authorities. It does this in two ways:

- public authorities are obliged to publish certain information about their activities; and
- members of the public are entitled to request information from public authorities.

The Act covers any recorded information that is held by a public authority in England, Wales and Northern Ireland, and by UK-wide public authorities based in Scotland.

Further information can be found on the Information Commissioner's Office Website: http://ico.org.uk/for_organisations/sector_guides/~/media/documents/library/Freedom_of_Information/Detailed_specialist_guides/definition_document_for_universities_and_higher_education_institutions.pdf

(viii) Genetic modification legislation

- UWE Bristol is not involved in the release or marketing of GMOs or GM products. We do, however, undertake research which involves the contained use of genetically modified organisms. This is regulated under the Genetically Modified Organisms (Contained Use) Regulations 2014. This is the primary piece of legislation that applies to the use of genetically modified organisms in the workplace. Links to this legislation can be found at: http://www.hse.gov.uk/biosafety/gmo/index.htm
- Information about the requirements with which UWE Bristol researchers must comply can be found on the 'standards' page of the University health and safety web pages (HSS22). Also more specifically on the HAS Health and Safety intranet pages: https://intranet.uwe.ac.uk/sites/hlshas/Pages/Genetically-Modified-Organisms.aspx.
- GM research at the University is governed by the Genetic Modification Safety Committee. Further details and guidance on conducting GM research at UWE Bristol can be obtained from the committee chair or the Biological Safety Officer. Their details can be accessed via the HAS Health and Safety intranet pages, using the link given above.

(ix) Health and Safety at Work Act 1974

- The Health and Safety at Work Act 1974 imposes a general duty on the University to ensure that by the manner in which it conducts its activities, there is an absence of risks to the health and safety of its staff and others (students, visitors, contractors, etc.) *so far as is reasonably practicable.*
- "So far as is reasonably practicable" means that the degree of risk in a particular activity or circumstance must be balanced against the time, trouble, cost and physical difficulty of taking measures to avoid the risk. The appropriate efforts to counterbalance the risk are the control measures – the preventative and protective measures.

- The *Management of Health and Safety at Work Regulations* (MHSW) specifically requires the University to make a "suitable and sufficient" assessment of the risks to the health and safety of its staff and others (students, visitors, contractors, etc.) who are exposed to risks arising out of the University's activities… "for the purposes of identifying the measures (it) needs to take to comply with the requirements and prohibitions imposed upon (it)…

- Further details can be found at: http://www.hse.gov.uk/legislation/hswa.htm

(x) Human Tissue Act 2004

- The Human Tissue Act 2004 'regulates the removal, storage and use of human tissue. This is defined as material that has come from a human body and consists of, or includes, human cells'.

- The Human Tissue ACT regulations can be complex to interpret. A decision will need to be made firstly as to whether the tissue is 'relevant material' under the Act (and the Act does relate to less obvious tissue, such as the residual cells in urine and faeces, even where the research will not use these cells). A decision will also need to be made about whether the research is for a 'scheduled purpose'. Such decisions are not always clear cut. Researchers (including student research Supervisors) are therefore expected to consult for advice with the Research Governance Manager in relation to any research involving human tissue. All human tissue projects must be logged on the UWE Bristol Human Tissue Register. Material containing human cells can be held without a license for a period of a few days, specifically and solely for the purpose of rendering it acellular, but no research whatsoever can occur on those samples, even if that research would itself render the samples acellular, or can be done within a few days. Human Tissue research at UWE Bristol is governed by the Human Tissue Sub Committee, and advice is also available from its members via the Research Governance Manager.

- General Guidance about the Human Tissue Act can be found at: http://www.hta.gov.uk/legislationpoliciesandcodesofpractice/legislation/humantissueact.cfm

  The University's human tissue research procedures can be found at: http://www1.uwe.ac.uk/research/researchethics/policyandprocedures.aspx

- Research using human tissue must be registered on the UWE Bristol Human Tissue Register, via the Research Governance Manager. It is the responsibility of Project Managers to ensure that the entry in the human tissue register for their research is kept up to date.

- The University does not currently have a site license for human tissue research. It is therefore necessary to obtain permission from an NHS REC via the NRES system on a project by project basis. Some uses are not licensable via this mechanism, such as

tissue banks, which cannot currently be held at UWE Bristol. This also means that tissue cannot be stored after the project NHS REC approval has expired, without an approved amendment of the end date. The tissue can only be used for the purposes set out in the NHS REC application, without a further application or an application for an amendment (and only then if this is in line with participant consent). It is the Project Manager's responsibility to ensure that NHS REC permission is up to date and conditions adhered to, and that tissue is not retained by the University past the expiry date of the permission. At the end of the project the tissue either needs to be destroyed, moved to another site which has a site license, or a further NHS REC project application for new work completed before the end date of the existing approval. Any such further permissions must be in place in advance – tissue cannot be stored at UWE Bristol for any time period without permission, as this would be unlawful.

It should be noted that a lack of compliance with the legislation can result in a prison sentence.

(xi) Intellectual Property Legislation

- The University requires those conducting research to comply with Intellectual Property legislation.

- Information about intellectual property legislation can be found on the Intellectual Property Office website at:

  http://www.ipo.gov.uk

(xii) The Mental Capacity Act 2005

- The Mental Capacity Act 2005, covering England and Wales, provides a statutory framework for people who lack capacity to make decisions for themselves, or who have capacity and want to make preparations for a time when they may lack capacity in the future. It sets out who can take decisions, in which situations, and how they should go about this. Because the Act is intended to assist and support people who may lack capacity, the Act protects people who take part in research projects but lack capacity to make decisions about their involvement. It makes sure that researchers respect their wishes and feelings. UWE Bristol research involving people who lack capacity must comply with the requirements of the Act.

- Guidance and information, including guidance in relation to research, is provided in the Mental Capacity Act 2005 Code of Practice, which can be found at: https://www.justice.gov.uk/downloads/protecting-the-vulnerable/mca/mca-code-practice-0509.pdf

(xiii) Radiation legislation

Health and Safety Standard HSS18 on Radiation Safety provides information about relevant legislation, and the UWE Bristol regulatory regime, which must be complied with. Advice can also be sought from the University's Health and Safety Manager.

(xiv) Safeguarding/DBS requirements

- All researchers working with children and/or vulnerable adults (which includes data not just personal interaction) are required by the University to undergo safeguarding training. This includes supervisors of students working with children and young people. The University's safeguarding policies can be found at: https://intranet.uwe.ac.uk/ou/hr/Pages/Safeguarding-guidance.aspx (in relation to staff) and http://www1.uwe.ac.uk/aboutus/policies.aspx (in relation to students).

- There are significant ethical issues involved in working with children and young people. Researchers should ensure that they have carefully considered the issues, drawing where appropriate on the expertise of colleagues in the University with specific expertise in the research area, and/or FREC members. Research involving children includes contact with children themselves, either face to face or by other means, their data, and their images. The University has produced guidance for research with children and young people which can be found at: http://www1.uwe.ac.uk/research/researchethics/guidance.aspx

- The University is registered with the Disclosure and Barring Services (DBS) and is required to obtain a disclosure for staff undertaking certain activities and roles within or on behalf of the University. The University's Disclosure and Barring Checks policy for staff sets out those roles where a disclosure is or may be required depending on the level and nature of the contact with vulnerable individuals, or for another reason. The Policy aims to ensure the University fulfils its responsibilities and obligations for the safeguarding of children, young people and adults with whom University staff and students are in contact as part of their work and also for the assurance of the individual, external agencies and the University itself. http://www1.uwe.ac.uk/aboutus/departmentsandservices/professionalservices/humanresources/hrpoliciesandprocedures.aspx

  The University has a separate policy which relates to students, the Policy Statement On The Recruitment And Placement Of Students Who Are Ex-Offenders (http://www1.uwe.ac.uk/aboutus/policies). As an organisation using the Disclosure and Barring Service (DBS) to assess applicants' suitability for places on university programmes related to the Child and Adult Workforce, UWE Bristol complies fully with the DBS Code of Practice. Where students are not assessed at the application stage, but later wish to work with children or vulnerable adults, the necessity for a DBS check must be considered prior to such research commencing. It is the responsibility of the Director of Studies or the student research Supervisor to identify such cases and ensure checks are completed where necessary.

Annex 8: University of the West of England Procedures for the investigation of Research Misconduct

These are still to be written and consulted upon, and will be inserted here once approved.