# STRATEGY & POLICY COVER SHEET

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# RESEARCH GOVERNANCE AND STANDARDS POLICY

## 1        Introduction

The University is committed to promoting high standards in the conduct of research. The University expects all staff and students engaged in research to act with the highest standards of integrity. This Research Governance and Standards Policy has been developed to promote best practice in research conduct and to enhance the quality of research undertaken at Norwich University of the Arts.

The policy aims to safeguard researchers, research and collaborators, and other organisations undertaking research with the University. The policy also aims to promote best practice in research, and to manage risks associated with misconduct in research.

## 2        Definitions of Research

In the University's Research Strategy 2015-20, research is defined as *a process of creative inquiry that leads to new understandings effectively shared.* The arising outputs of creative inquiry that leads to new understanding, for example, practice, design, theory and / or pedagogy, and expressed in any number of creative media – must demonstrate critical awareness and positioning, rigour, significance and originality, and be critiqued through a process of peer review. Dissemination to appropriate and varied national and international audiences is also a key factor of successful research, practice and pedagogical initiatives in art, design, architecture and media.

The Research Governance and Standards Policy applies to all who engage in, host or facilitate research activities at the University, including undergraduate students, taught and research postgraduate students, and staff. The policy also applies to individuals, groups and/ or organisations who may, or may not, be employed by the University but who undertake research on the University's premises, or while using the University's resources.

All new and existing members of staff, research students, and individuals who undertake research at the University or while using University resources should familiarise themselves with the policy.

## 3        Conduct of Research

### 3.1        Principles

All Researchers have a duty of accountability to society, to participants, to their profession, to the University and to the funders of the research, to accept full responsibility for the professionalism and integrity of all aspects of the conduct

and publication of their research, and for the activities of any staff or students under their direction. This responsibility extends to reporting, in the appropriate manner, conflicts of interest, actual or potential, or suspected misconduct and concerns about poor practice.

Researchers must also accept accountability for taking steps to ensure the safety of those associated with the research process, the probity of the financial management of the research project, and for seeking to provide value for the public or private funds invested in the project. All legal, regulatory and ethical requirements established by the University or any other properly authorised bodies must be observed.

### 3.2 Excellence

Individuals and organisations should strive for excellence in their research activities, and should promote and disseminate this accordingly. The University supports the development of excellent research through the principles and procedures outlined in this policy.

The University uses academic staff training, supervision, mentoring, peer review, external review, project monitoring and auditing to support the development of excellence in research activities. Support for designing research can be sought from the Director of Research.

When internal peer review is used to support the development of research activities the process should be based, as far as possible, on relevant and appropriate scheme specific criteria. Experienced academic staff should conduct internal peer review in an open, honest and accountable manner, adhering to the principles outlined in this policy and all relevant external guides.

### 3.3 Honesty

Individuals undertaking research at, or in collaboration with, the University should be honest about their work and that of others, and do their utmost to ensure the reliability of their work. This applies to all aspects of the research process, including acknowledging the direct and indirect contributions of colleagues, collaborators and others. Researchers should disclose any real or potential conflicts of interest, both financial and professional, as soon as they become apparent. All researchers must refrain from plagiarism, falsification of results, infringement of intellectual property rights, or other forms of misconduct.

### 3.4 Openness

Researchers should be as open as possible with other researchers and the public in discussing their work. Once results have been published, the University expects researchers to make available relevant data and materials to others as far as confidentiality, ethics approvals, and protection of intellectual property rights and other arrangements will allow, and in accordance with the requirements and guidelines of external funders of the research. Researchers

should contact the Research Office for advice on releasing results that might affect the potential to protect the research at a later date.

The University recognises that publication of the results of research may need to be delayed for a reasonable period to enable the University or the research sponsor to exploit or protect intellectual property arising from the research. However, any such periods of delay in publication should be kept to a minimum.

Individuals and organisations undertaking research at, or in collaboration with, the University should ensure the confidentiality of all personal and/ or sensitive data obtained during any research activity, with respect to the University's Data Protection Policy and the Data Protection Act 2018. Advice and guidance on data protection and privacy by design can be obtained from the University's Data Protection Officer.

Individuals and organisations should ensure that all contracts and/ or agreements relating to research include appropriate arrangements for the ownership, use and disposal of intellectual property.

3.5     Integrity

Individuals and organisations undertaking research at, or in collaboration with, the University should comply with all relevant legal and ethical requirements. They should recognise and declare any conflicts of interest relating to their work. All conflicts of interest should be acknowledged at the earliest possible opportunity and advice should be sought from the Director of Research in the first instance.

All individuals and organisations undertaking research at, or in collaboration with, the University should familiarise themselves with the University's Code of Practice on Research Ethics, or the Code of Ethics for Undergraduate and Taught Postgraduate Students, according to the level of study/research. An Ethics Checklist and an Application Form for Ethics Approval are also available to assist the identification of ethical issues in research.

All ethical issues should be acknowledged at the earliest possible opportunity and advice should be sought from the Director of Research. If individuals and organisations are engaged in international research, they should abide by all of the legal and ethical requirements that exist in all of the countries represented in the activity.

All research students are required to complete the research ethics section of the Application to Register for a Research Degree form, if there are any ethical concerns associated with their proposed programme of research, when they apply to register their research degree with the University of the Arts London.

3.6     Accountability

Individuals employed by the University should recognise that they may be ultimately accountable to the general public when carrying out research. Where available, the University expects researchers to observe the standards of practice set out in guidelines published by funding bodies, and other relevant professional bodies.

Researchers, and in particular those named as principal investigators or grant holders, must ensure that the research that they are undertaking is consistent with the terms and conditions covered by agreements between the University and the funder. This includes, but is not restricted to, ensuring that the research programme carried out is as defined in the original proposal to the funder, unless amendments have been agreed in writing; that the finance is used solely for the research purpose that it was intended; that reports are both accurate and produced on time; and that conditions relating to publication and ownership of Intellectual Property are adhered to.

All individuals employed by the University should follow relevant financial procedures when developing, realising and evaluating research activities. Applications for external funding should normally be prepared using Full Economic Cost (fEC) methods or appropriate alternatives.

All internally funded research projects should be completed with a project report, outlining key findings, publications and expenditure.
Reports should be submitted to the Research Committee.

Project reports for all externally funded research activities should be completed and submitted to the relevant funding organisation and/ or sponsor. Project reports for external funding should only be submitted with the approval of the Strategic Management Group.

Where University staff work as co-investigators for research projects led by other HEIs and/or Academic Analogues, project reports may not need to be considered by the Strategic Management Group. In such cases co-investigators should be careful to ensure that information provided for project reports is accurate and honest. Co-investigators should notify the Director of Research on a regular and agreed basis and seek support if they have any doubts about the information they are asked to provide.

## 4    Training and Supervision

### 4.1    Researcher training

Individuals undertaking research at, or in collaboration with, the University should be appropriately trained to meet all relevant standards associated with their work. New researchers should be offered an appropriate introduction to the University, which includes the signposting of research strategies, policies, codes of practice, training, professional development, support and other

opportunities.

The University provides a regular programme of research training activities for staff and students, including a programme of research seminars and training events, a year round programme of exhibitions, and research and training events organised in partnership with the University of the Arts London (for research students and supervisors). The University provides support for academic staff and research students to attend external research, teaching and learning, professional development and training events (such as conferences, meetings and courses).

The University has a mentoring system for established researchers to provide support and guidance to early career researchers and/ or new members of staff.

### 4.2    Supervision

The University will provide training for supervisors in supervisory skills through a structured framework of staff development for research staff.

Supervisors should ensure that research students understand their responsibility for maintaining accurate, clear, complete, durable and legible records of research activities.  Supervisors are responsible and accountable for any research student(s) that they supervise and should ensure that students should have adequate supervision, support and training.  In addition to this, they should ensure that their students are aware of and conduct research in accordance with this Policy.

## 5    Research Misconduct

All researchers within the University are expected to observe high standards of professional behaviour both in the practice of research and in the publication of research findings.

Research misconduct relates to fabrication, falsification, plagiarism or deception in proposing, carrying out or reporting results of research and deliberate, dangerous or negligent deviation from accepted practice in carrying out research. It includes failure to follow established protocols if this failure results in unacceptable risk or harm to humans, other vertebrates or the environment, and facilitating of misconduct in research by collusion in, or concealment of, such actions by others. It also includes intentional, unauthorised use, disclosure or removal of, or damage to, research-related property of another, including apparatus, materials, writings, data, hardware or software or any other substances or devices used in or produced by the conduct of research.

Research misconduct does not include honest error or honest differences in the design, execution, interpretation or judgment in evaluating research methods or results or misconduct unrelated to the research process. Similarly, it does not include poor research unless this encompasses the intention to deceive.

Any allegations of research misconduct will be dealt with under the University's Research Misconduct procedure (see *Procedure for the Investigation of Allegations of Misconduct in Research*). Registered students who are alleged to be guilty of plagiarism will be considered under the University's Student Regulations and Procedures.

## 6      Research Results

### 6.1      The Need for a Critical Approach

Researchers should always be prepared to question the outcomes of their research. The University expects research results to be checked carefully prior to being made public. Once made public, researchers should be prepared to defend their ideas, methods and results in an open and honest way.

It is important that researchers or research groupings should not become subject to other pressures such that the normal processes of research inquiry cannot be enforced, e.g. by constraints imposed by the source of funding of the research. Any pressure to produce results that suit the specific interests of a funder must, of course, be resisted. This is particularly the case where the individual researcher(s) could be perceived to have a conflict of interest, e.g. where they might have an equity share in the funder, or may hold a position (e.g. Director) or be involved in consultancy with the funder. Any such conflict of interest, whether real, potential or perceived, should be disclosed at the earliest opportunity to the Dean of Research.

### 6.2      Record Keeping

Researchers are required to keep clear and accurate records of the procedures followed and approvals granted, and of the results obtained, including interim results and final outcomes. This process demonstrates good research practice, safeguards researchers and the University from allegations of misconduct and assures auditors and research funders that robust academic supervision is in place. Maintenance of records is the responsibility of researchers, who should comply with the University's Record Management Policy. Where written records are kept, e.g. note books, these should be properly maintained, durable and contain legible information. Record keeping can also help to ensure that intellectual property can be protected.

Where research involves processing of personal data relating to research participants, researchers are required to comply with the terms and principles of the Data Protection Act 1998 and should refer to the University's Data Protection Policy.

### 6.3      Storage and Retention of Records

Data generated in the course of research should be kept securely in paper and/or other means of data storage as appropriate. Where documentation is stored in electronic format, researchers should ensure that back-up copies are maintained, kept securely and are in a readily accessible archive. Data should be stored in such a way that permits a complete retrospective audit, and records should be

monitored regularly to ensure their completeness and accuracy. If data relates to individuals, Researchers must ensure this is stored securely and confidentially, is not kept for longer than is necessary and disposed of at the appropriate time with due regard to security and confidentiality.

Researchers must meet specific requirements made by funding bodies for data retention e.g. several UK Research Councils require data to be kept for 10 years after the completion of a research project. Commercial organisations may require even longer periods.

## 6.4     Publishing Results

The University encourages the publication and dissemination of results of research, in an appropriate form, such as papers in refereed journals, authored books etc. It is important that research output is peer reviewed where appropriate. Researchers should make all reasonable attempts to present their research to the academic community, potential users and to the public. Where a study has involved research participants, they should normally be informed of the outcome of the study.

A publication which is similar to other publications derived from the same research must contain appropriate reference to the other publications. Any author who submits similar work to more than one publisher should ensure that each publisher is aware of this at the time of submission.

The person with overall responsibility for a research programme, typically the Project Manager, should authorise publication of results; authorisation should cover both the content of the publication and intended place of publication. 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 are met.

Staff are required to deposit research publications, wherever possible, in the University's Research Repository. This provides immediate world wide open-access to the University's research, increasing visibility and allowing greater discovery of expertise in the global research community.

## 6.5     Authorship and Acknowledgements

The University expects anyone listed as an author on a paper or other form of output to accept personal responsibility for ensuring that they are familiar with the contents of the output and they are able to identify their contributions to it. The practice of 'honorary authorship' is unacceptable; only those who have contributed to the research should be listed.

The roles and contributions of formal collaborators and others who directly assist or indirectly support the research must be properly acknowledged. This should extend to the body or bodies funding the project, where appropriate. It should also 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 unprofessional conduct.

6.6     Intellectual Property

Intellectual Property (IP) is the general term for intangible property rights which are a result of intellectual effort. In English law the following forms of Intellectual Property Rights (IPR), the legal recognition of the ownership of IP, are recognised: copyright, patents, design rights, registered design, trademarks, know-how and confidential information.

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 intellectual property can be obtained from University's Director of Innovation and Engagement.

All Researchers should make arrangements to ensure that the ownership and potential exploitation of intellectual property is clearly defined prior to the commencement of any research. Researchers should inform the Director of Research of any IPRs that may arise from externally funded research and also inform the sponsor.

6.7     Health and Safety

The University strives for a positive health and safety culture. Research may involve the use of potentially dangerous or harmful equipment, substances or organisms. The safety of participants and of researchers and other personnel or staff 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 regulations and codes relevant to their research, such as contained in the University's Health, Safety and Environmental Management policy.

## 6       Research Governance at the University

The Director of Research shall have overall responsibility for overseeing the review and implementation of this Policy and is the person to whom any genuine concerns or allegations may be taken. The Director of Research reports to the Research Committee on matters related to this Policy.

The Research Committee is responsible for monitoring research, including Research Standards and Governance, at the University. The Research Committee reports directly to Senate.

The Research Degrees Committee is responsible for monitoring research degree programmes at the University. The Research Degrees Committee reports to the Research Committee, and to the Research Degrees Sub-Committee at the University of the Arts London, the University's validating partner for research degrees.

The Research Degrees Committee and the Research Ethics Sub-Committee at the University of the Arts London consider postgraduate research student

applications for approval of research ethics.

The Learning, Teaching and Quality Committee is responsible for monitoring undergraduate and taught postgraduate programmes, and for considering applications for approval of research ethics from taught students.

## REFERENCED UNIVERSITY POLICIES

- *Code of Practice on Research Ethics*
- *Code of Ethics for Undergraduate and Taught Postgraduate Students*
- *Intellectual Property & Policy Regulations*
- *Research Degrees Regulations: Code of practice for supervisors and research students*
- *Procedure for the Investigation of Allegations of Misconduct in Research*
- *Data Protection Policy*
- *Health, Safety and Environmental Management Policy*
- *Student Regulations and Procedures*

a. The Intellectual Property Management Group is responsible for overseeing the management of Intellectual Property.

b. The Student Conduct Committee is responsible for investigating alleged cases of taught postgraduate and undergraduate academic misconduct at the University. The Student Conduct Committee reports to the Learning, Teaching and Quality Committee.

c. The Vice Chancellor has overall responsibility for research at the University.

d. Enquiries about this policy should be directed to the Pro Vice-Chancellor (Academic) in the first instance.

## 7    References

The Policy should be read in conjunction the following strategies, policies, regulations and handbooks, copies of which can be downloaded from the University Intranet.

Research Strategy 2015-20

Code of Practice on Research Ethics (and associated documents)

Code of Ethics for Undergraduate and Taught Postgraduate Students

Intellectual Property Policy and Regulations

Equality, Diversity and Inclusion Policy

Data Protection Policy

Health, Safety and Environment Management Policy

Research Student Handbook and Research Degree Training Framework

University of the Arts London Research Degrees Handbook and Regulations

Student Regulations and Procedures

Quality Management and Enhancement Handbook

The Policy has been prepared with respect to the following publications:

RCUK Policy and Guidelines on Governance of Good Research Conduct (updated April 2017)

Research Councils UK 'Terms and Conditions of Research Council FEC Grants' (Updated March 2018)

Concordat to Support the Career Development of Researchers (2008)

UK Research Integrity Office 'Code of Practice for Research'

Charity Commission 'Research in Higher Education Institutions'

University of the Arts London 'Research Governance Policy'

QAA UK Quality Code

Research Information Network publication 'Peer Review'

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