NOTTINGHAM TREN UNIVERSITY

Title:	Code of Practice for Research
Approved by:	Academic Board
Date of implementation:	1 March 2015
Date of next major review:	September 2018

1. Context and applicability

At Nottingham Trent University (NTU) research that shapes lives and society is central to our mission and the achievement of our aims. We value what research is, what it does and we aim to support those who undertake it. In keeping with our commitment to support staff and students in their ambitions to undertake excellent research we operate a Code of Practice for Research. The code, set out below, provides the principles of practice and conduct by which the University expects research to be carried out either at or in the name of NTU.

The Code of Practice for Research at NTU aligns with and should be read alongside the Research Councils' UK *Policy and Guidelines on Governance of Good Research Conduct* (2013), available at:

http://www.rcuk.ac.uk/documents/reviews/grc/rcukpolicyguidelinesgovernancegoodresearchconduct-pdf/

The Code of Practice is relevant to all individuals involved in research either at or in the name of NTU, irrespective of the discipline/field of research.[1] This includes:

- ❖ Academic staff
- ❖ Staff employed on research contracts
- ❖ Students and their supervisors
- ❖ Technical staff involved in research support
- ❖ Visiting students and their supervisors
- ❖ Visiting and emeriti researchers/scholars
- ❖ Research managers
- ❖ Professional Support Service staff

For the purposes of this Code of Practice we use the definition of "research" provided by HEFCE for use in the Research Excellence Framework (REF2014) exercise (see *Assessment Framework and guidance on submission*, 2011, p48, available at: http://www.ref.ac.uk/2014/media/ref/content/pub/assessmentframeworkandguidanceonsubmissions/GOS%20including%20addendum.pdf:

"For the purposes of the REF, research is defined as 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;[2] 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

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[1] The term "researcher" will be used throughout the Code as a general term to cover all individuals undertaking research at or in the name of NTU.

[2] Scholarship for the REF is defined by HEFCE as "the creation, development and maintenance of the intellectual infrastructure of subjects and disciplines, in forms such as dictionaries, scholarly editions, catalogues and contributions to major research databases."

substantially improved materials, devices, products and processes, including design and construction. It **excludes** routine testing and routine analysis of materials, components and processes such as for the maintenance of national standards, as distinct from the development of new analytical techniques. It also **excludes** the development of teaching materials that do not embody original research.

It **includes** research that is published, disseminated or made publicly available in the form of assessable research outputs, and confidential reports (as defined at paragraph 115 in Part 3, Section 2)."

Where legislation is referred to in this document, it is necessarily that governing research in England. Legislation for Wales, Scotland and Northern Ireland may differ, as will legislation for other jurisdictions worldwide. Where research is being carried out, in whole or in part outside England, care should be taken to comply with local law, if necessary, by taking advice from local institutions.

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2.   Personal and professional research integrity

The primary responsibility for safeguarding the integrity of any research undertaken lies with the *individual researcher*. All researchers are expected to meet the standards laid down by the funding bodies, the University and relevant professional bodies. Principles of good practice to which researchers are expected to adhere:

2.1 Honesty, openness and rigour

Maintaining open, honest and rigorous professional standards is fundamental to research and the University expects researchers to foster a culture of honesty, openness and rigour across all stages of the research process, from applying for funding to publishing outcomes and acknowledging contributions from colleagues.

Research design, methodologies and results should be open to scrutiny, discussion and debate. Researchers should be as open as possible with other researchers and the public about their work subject to confidentiality restrictions.

After any findings have been published, all data and materials used in obtaining those results should be made available to other researchers as and when required and subject

to any contractual or other confidentiality restrictions (see NTU Research Data Management Policy).

2.2 Accountability and responsibility

All researchers should be aware of the legal and policy requirements that regulate their work. This includes a responsibility to comply with the law, guidelines produced by the University and research practice guidelines produced by relevant professional bodies and other appropriate bodies.

All researchers must ensure the work undertaken is consistent with the agreements and terms and conditions defined by the University and/or the research sponsor. This includes ensuring the project is carried out as defined in the original proposal; the finance is used solely for the purpose it was intended; reports are accurate and produced on schedule and that there is adherence to any conditions regarding publication and intellectual property ownership. Failure to adhere to these guidelines could be considered professional misconduct under the University's research misconduct policies.

Research requires a commitment to the careful, reflective process of discovery and interpretation. All research results should be checked before publication. Despite the various pressures and deadlines imposed, Researchers should not lose sight of the need to question the findings of their research, as ideas and results may be challenged once published.

Wherever possible research should be delivered in a way that minimises negative environmental or sustainability impacts.

2.3 Project application and approval

All applications for externally-funded research should be signed off by an authorised signatory at School, College or University level in accordance with the University Authorities Manual. Prior to submission to an external funder, all research applications must be reviewed by the College Finance Team who will check the pricing and costing and overall business case for the proposal. Researchers are advised to discuss proposed projects with the relevant Associate Dean for Research (or equivalent) at the earliest opportunity in order to ensure that applications and proposals are properly costed and comply with any applicable terms and conditions.

2.4 Conflicts of interest

For the purposes of research a conflict of interest has been defined as "a set of circumstances that creates a risk that professional judgment or actions regarding a primary interest will be unduly influenced by a secondary interest."[3] In research terms, a conflict of interest might arise whereby an actual, potential or perceived conflict exists that causes undue influence over judgement(s) associated with the undertaking of or reporting results from a research project.

The initial responsibility for managing conflicts of interest lies with the individual researcher. The fundamental requirement for managing conflicts of interest is that all researchers should disclose conflicts of interest, whether actual or potential, as soon as they become apparent. Any disclosure of this nature should be made to the relevant Dean of School and the individual concerned will then comply with their direction. If external partners or funders are involved they should be notified at the earliest appropriate opportunity. If in doubt, it should be considered best practice in the first instance to

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[3] See Lo and Field (Eds), National Research Council. *Conflict of Interest in Medical Research, Education, and Practice.* Washington, DC: The National Academies Press, 2009.

disclose any actual or potential conflicts of interest and seek advice from the appropriate School Associate Dean for Research.

2.5 Leadership responsibilities

As stated previously (see page 1, section 2), the primary responsibility for safeguarding the integrity of any research undertaken lies with the *individual researcher*. However, at University level it is the responsibility of the Vice-Chancellor, Pro Vice-Chancellor for Research, Heads of Colleges, Deans of Schools and Associate Deans of Research (or equivalent) to *ensure that a culture of good practice in research is fostered throughout the Institution*. At research group level this responsibility lies with the research group leader.

Research group leaders/principal investigators and research student supervisors etc. are expected to create an atmosphere of openness and co-operation within his/her team, fostering the open exchange of ideas and ensuring that robust management practices exist to safeguard the honesty and integrity of the research conducted. New researchers (including research students attached to the group) must be given access to this Code of Practice, the University Research and Ethical Governance Framework and any other appropriate guidelines.

Research group leaders/principal investigators must endeavour to ensure that researchers for whom they have responsibility are not placed under commercial or other pressures that prevent the normal pursuit of thorough and honest investigation.

The research group leader/principal investigator of a research project bears primary responsibility for all aspects of the research undertaken. This includes ensuring:

   i.   the dignity, rights, welfare and safety of any research participants;

   ii.   that research is conducted in accordance with guidelines (including best practice and health and safety procedures) and approval obtained from all necessary bodies before research commences (with any proposed amendments to the agreed protocol also being approved);

   iii. the study complies with all relevant legal and ethical requirements (see NTU Research Ethics Policy);

   iv.   each research team member is sufficiently qualified and experienced to fulfil their role. This includes ensuring that new and early career researchers have adequate supervision, support and training;

   v.   procedures are in place to collect, store and protect data (and its integrity and confidentiality) and that it is appropriately archived upon completion of the research (see NTU Research Data Management Policy);

   vi.   reports on research progress and outcomes are produced on time and to an acceptable standard;

   vii. research results are disseminated promptly and fed back as appropriate to participants;

   viii. findings are, subject to confidentiality constraints, open to review through accepted scientific and professional channels;

   ix.   arrangements are in place to manage financial and other resources provided for the study and any intellectual property arising;

   x.   he/she accepts the key role of detecting and preventing misconduct by adopting

the role of guarantor on published outputs.

3.   Research funding

3.1   It is a University requirement that research funding should not be accepted in cases where researchers do not have the freedom to conduct their work in accordance with normal scientific and research conventions (including those entered into under NTU approved collaborative and/or contract research agreements), which includes publication of results.

3.2   In interpreting clause 3.1 it is noted that in some cases ownership of the data and any ensuing Intellectual Property (IP) is assigned to the sponsor or funder as a condition of the grant or contract e.g. Knowledge Transfer Partnerships (KTPs) and other commercial collaborations). In such cases it is incumbent on the researcher to familiarise themselves with the terms of the contract and to seek any necessary permissions from the sponsor or funder in advance of any submission of the work to a publisher.

3.3   In addition to the above, and where there is any doubt concerning the suitability of the funder for research at NTU the decision on whether the funding should be accepted rests with the University Executive Team (UET) or its nominee(s).

3.4   It is incumbent on those staff authorising research funding applications on behalf of NTU that they consider the proposed funder for the research and if in any doubt about the funder's suitability the matter should be raised with the UET via the Pro Vice Chancellor for Research prior to any authorisation being given.

4.   Research Data

4.1   Researchers must comply with the University's Research Data Management Policy (available at:

https://www4.ntu.ac.uk/staffnet/document_uploads/160077.pdf)

and also with the University's Document Retention schedule (available at: https://www.ntu.ac.uk/intranet/policies/legal_services/foia_act_2000/11531.pdf)

4.2   Researchers have a duty to comply with all the requirements of current data protection legislation. All processing of personal data must comply with the terms of the Data Protection Act 1998 or equivalent, for research conducted outside the UK. Researchers should refer to the University's guidelines on Data Protection.

4.3   A primary principle of good research practice is the meticulous recording and retention of research data. Researchers are expected to keep clear and accurate records of all results obtained including primary data, interim results and final outcomes, as well as the procedures followed and approvals granted.

4.4   Data should be stored securely and durably in a paper and/or electronic format, as appropriate. For data stored on a computer a back-up should always be kept. Note that the research sponsor may require a longer period

of retention. Wherever possible, it is best practice to anonymise the data by removing any identifying information from it.

4.5 Where appropriate, researchers should include data management and archiving costs into research funding applications.

5 Use of student-related data for research purposes

The collection, analysis and use of student-related data[4] for purposes of (i) improving and enhancing the student learning experience and (ii) provision of information to any government or regulatory body (e.g. the Higher Education Funding Council for England (HEFCE) and the Higher Education Statistics Agency (HESA) has been undertaken across the University for many years and is considered to be part of the normal business of the University.

In addition to these sorts of activities, whereby student-related data is collected and used for student enhancement and regulatory purposes, University staff may also wish to collect and use it for research-oriented purposes (e.g. pedagogic research resulting in conference papers and/or academic journal articles) or for activities which may or may not lead to research-oriented endeavours (e.g. course evaluation and promotion, course performance improvement).

As part of its commitment to (i) promote staff in their ambitions to undertake excellent research and (ii) continue in its endeavours to improve and enhance the student learning experience, the University is supportive of the collection and use of student-data for research-oriented purposes. It is, however, expected that University staff embarking upon any research project of this nature adhere to the *Code of Practice for Research* and the *University Research Ethics Policy*.

Staff who wish to undertake research that includes the use of student-related data are advised to speak initially with the relevant Associate Dean for Research (or equivalent), College Research Ethics Committee Chairs or Chair of the Professional Doctorate Research Ethics Committee.

6 Research Authorship

6.1 Authorship is the foremost method of allocating credit for intellectual advances and as such it is important within the context of good practice in research. The University expects that anyone listed as an author on any form of published output[5] arising out of research accepts personal responsibility for ensuring they are familiar with the contents of the output.

6.2 An author can be defined as someone who has had a major input into the creation of an output from a research project. This can be by:

i. helping conceive the research project and its procedural framework;

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[4] For example, data relating to student numbers, course performance, marketing evaluation, etc.

[5] An output is defined as any form of publication (e.g. journal article, book, book chapter, monograph, thesis, research report) or any other published artefact created as a result of the undertaking of research.

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being involved in the research project and the interpretation of research data associated with the project;

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drafting/creating the output, or revising its content in a critical manner.

Note that these three conditions are not mutually exclusive and we would typically expect that authors have contributed to an output by being involved at more than one of these phases of a research project.

Giving the ultimate approval for the final version of the output to be published would not be considered adequate grounds for inclusion as an author of a research output in its own right. The provision of such approval, in addition to a researcher being involved in other phases of the research project, would typically be expected before a researcher is included as an author on any output arising from the research project.

6.3   It is expected that the roles and contributions of collaborators and other supporters of the research projects will be acknowledged within any published outputs. This extends to acknowledging the support from the research sponsor, if it is appropriate to do so. This should apply when publishing research findings and whenever making a statement regarding the research. Failure properly to acknowledge all direct or indirect contributions made by collaborators and other supporters is unprofessional conduct.

6.4   As a rule, an author's input into the actual research must be sufficient for them to take responsibility for part of the output. Assisting in acquiring funding or data is not enough to earn the title of author. Neither is general supervision of a research team or research student. Contributions of this kind should be acknowledged in the text, but not as authors. The practice of honorary authorship is not acceptable.

6.5   Every author involved in a project should review its output before it is published and ensure that he/she is familiar with its contents and their contribution to it. Once published he/she should support the findings of the research. Any person listed on an output as an author or co-author is taken to endorse every part of that output.

6.6   As a general rule it is considered good practice for researchers involved in a research project to discuss and make decisions about authorship of any potential publications arising from the project at the start of the project. It is advisable to record decisions made in writing, with a signed copy being held by each researcher involved in the project.

7   Research Publications

7.1   Online guides and documents concerning the NTU Publication Strategy, Open Access publishing and submitting publications to the University Repository (IRep) are available from the Library website, at: http://www4.ntu.ac.uk/library/research_support/index.html and all researchers are expected to familiarise themselves with these documents. In addition, some general principles on research publishing that researchers are expected to adhere to are covered in the following paragraphs.

7.2   Research results should be disseminated widely in an appropriate form, e.g. as papers in refereed journals, subject to confidentiality restrictions (e.g., in confidential reports produced in contract research). Publication allows the community at large to view, challenge and develop research results. All publications should contain enough information to allow other researchers to replicate the procedures originally used. Precise reference should also be made to all significant contributions including, where appropriate, the financial support received.

7.3   Research of suitable quality should be published wherever possible, although timed so as to protect any intellectual property or confidential information. It is important that research output is peer reviewed through accepted scientific and professional channels.

7.4   Exceptions to the standard rule of first publishing through accepted scientific and professional channels would be when serious public health or safety issues are involved or in cases of contract research. The safety of the general public would take precedence in these instances. It follows from this that healthcare research findings in particular must be published as soon as possible. An explanation of the findings must be made available to the public in an understandable format.

7.5   Generally speaking, authors should not publish more than one paper based on the same set of data. An exception to this is where researchers are using publically available data sets and they are taking different approaches and/or novel ways of undertaking data analyses. In all cases, there must be full and thorough references and acknowledgements to the earlier paper(s) using the same data sets.

8   **Training and development of researchers**

8.1   It is the responsibility of the University to ensure that there are adequate provisions for training and development to enable all research students and staff to acquire necessary research skills for their current role, and to support their future career development.

8.2   The University supports the principles of the <u>Concordat to Support the Career Development of Researchers</u>, a UK-wide agreement launched in 2008 to promote research careers and improve research for the benefit of UK society and the economy. In addition the University holds the *EU HR Excellence in Research* award, as an indication of its commitment to supporting the careers of researchers. NTU webpages containing information about its commitment to the Concordat are available at:

        https://www.ntu.ac.uk/research/researcher-development/support-for-researchers

8.3   Research group leaders/principal investigators/supervisors are expected to provide adequate supervision to staff and student researchers in their charge, along with regular reviews of progress.

8.4   The identification of training and development needs and the provision of careers advice constitute key components of the University's annual Appraisal cycle (for staff) and Annual and Interim Monitoring (for research students).

8.5 It is vital that research leaders/supervisors develop the appropriate skills in respect of their staff development and managerial responsibilities. To this end the University has developed a Researcher Continuing Professional Development (Researcher CPD) tool[6], available at:

https://now.ntu.ac.uk/d2l/home/279569

8.6 Research training and development for research students (and staff, where appropriate) is coordinated by the NTU Doctoral School and students/staff looking for information about the Doctoral School training and development should refer to web information and documents provided by the Doctoral School (available at:

https://www.ntu.ac.uk/research/doctoral-school/ntu-doctorate-plus-programme

8.7 Research Training and development for staff (and research students, where appropriate) is provided by the University and information about training and developmental opportunities can be found on the University research web pages

https://www.ntu.ac.uk/research/researcher-development

8.8 In addition to sources provided in paragraphs 8.5, 8.6 and 8.7 above, training in relevant research related skills may also be provided at School or Research Centre/Group level.

8.9 In addition to undertaking formal skills training, researchers should be given the opportunity to become involved in wider research activities that contribute to their career development, such as conference attendance, wherever practicable.

9 Research Misconduct

9.1 The University is committed to maintaining the highest standards of research integrity in both the practice and publication of research.

9.2 The primary responsibility for safeguarding the integrity of any research undertaken lies with the individual researcher. It is his/her responsibility to ensure that the work meets all professional standards outlined in this and other policies and documents referred to within this Code of Practice.

9.3 Misconduct relating to research is unacceptable and will result in disciplinary action. In this context, staff should consult the following documents for the definition of the term research misconduct:

i. For all academic staff, contract researchers, visiting researchers/emeriti/scholars, research managers and professional support staff see "Management Guideline for Investigating Research Misconduct" and "NTU Disciplinary Policy and Procedures" available at:

https://www4.ntu.ac.uk/staffnet/quick-links/a-z/ecentral_a-z_listing.html

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[6] Based on Vitae's *Researcher Development Framework* (see: https://www.vitae.ac.uk/researchers-professional-development/about-the-vitae-researcher-development-framework).

      ii.   For allegations of research misconduct relating to students see the *Procedure for Investigating Alleged Research Misconduct*, available at:

           https://www4.ntu.ac.uk/adq/document_uploads/quality_handbook/189265.pdf

9.4   There are many ways in which research misconduct can be committed, ranging from minor misdemeanours, which may or may not be inadvertent, to serious acts of deliberate deception.

9.5   The consequences of research misconduct can be widespread and extremely serious. On a personal level it can lead to a loss of reputation on the part of the researcher involved (and of the complainant, if the allegation is deemed to be mischievous), a loss of funding (both current and future) for research projects and, potentially, dismissal (or permanent exclusion in the case of research students). Research misconduct may also amount, for staff and/or research students, to professional misconduct, leading to discipline by their own professional body.

9.6   The School involved and the University as a whole will also suffer in various ways, including:

      i.   damage to their reputations;

      ii.   funding bodies choosing to transfer their money elsewhere, or being less disposed towards giving major grants to the School/University in the future;

      iii.   valuable partnerships being lost e.g. with industry or an NHS Trust;

      iv.   a loss of staff and difficulty in attracting leading academics;

      v.   the potential for the institution to be sued or prosecuted as a result of the nature of the misconduct.

9.7   It is therefore essential that all actual or suspected cases of misconduct are dealt with, and are seen to be dealt with, as swiftly and as rigorously as possible.

10 Ethical Requirements

10.1 The University requires that researchers who are leading, managing and/or supervising research projects consider the associated social and ethical implications of all their research projects and during the formulation of new proposals for external funding. Research sponsors expect researchers to consider the ethical implications associated with their proposed research projects. Researchers are required to contact either their School Research Group/Centre Leader or their Associate Dean for Research (or equivalent) to discuss any perceived or actual ethical implications associated with their research proposals in the first instance.

10.2 All researchers are expected to adhere to the University's *Research Ethics Policy* (available at the University website here:

https://www.ntu.ac.uk/research/research-at-ntu/research-integrity

The policy applies to all those conducting research within, or on behalf of, the University, including staff, persons holding honorary University appointments, visiting researchers, undergraduate and research students (including visiting students).

10.3 The purpose of the University Ethics Policy is to establish and promote good ethical practice in the conduct of academic research. Specifically it provides:

   i. an over-arching framework of principles designed to promote a quality research culture, where excellence is promoted and key elements such as effective leadership, openness, accountability and honesty, are maintained and enhanced;

   ii. A clear understanding of the structures the University has in place to internally review its practices and activities in relation to research ethics.

10.4 ***Research Involving Human Participants:*** The following paragraphs set out the basic principles that should be adhered to for all research involving human participants, human material or human data (i.e. data obtained via interaction or intervention with individuals). However, there are laws governing the use of human subjects for research and teaching purposes. Researchers should be familiar with the legal requirements that must be met and adhered to in order to undertake research involving humans. During the planning stage of research or teaching-demonstrations which may require human participants, the researcher must contact the appropriate School Associate Dean for Research, the Chair of their College Research Ethics Committee or a member of the Research Office to seek guidance on the legal requirements associated with working with human participants.

10.5 any research involving human participants, the safety, rights and dignity of the participant must be the primary concern. Where appropriate, thorough written research protocols on ethical and health and safety procedures for the project must be approved by the relevant ethics committee before work commences. These protocols will include procedures for:

10.5.1 governing participant eligibility and confidentiality;

10.5.2 data (including images) collection, storage and retrieval and manipulation;

10.5.3 the analysis and reporting of information.

10.6 The research must adhere to all legal requirements and guidelines produced by other appropriate bodies. It is legally and ethically paramount that all information gained from research regarding individuals should be kept strictly confidential and securely stored. Unless prior informed and explicit consent is given, research information should not be presented in a manner that could potentially identify any person(s).

10.7 Researchers have a responsibility of care towards the individuals participating in the research and are accountable for their well-being. In all research, efforts should be taken to (i) minimise the number of human participants used based on statistical good practice and (ii) minimise all the potential risks to the well-being of the research participants.

10.8 Informed consent is required from all participants in research. Arrangements should be made to provide any relevant information in an appropriate format to all research participants (as well as to their legal guardians if appropriate). Research participants should be aware of all the potential risks and benefits, if any, associated with their involvement. They must also understand that their involvement is entirely voluntary and they are free to withdraw at any time. When research participants are patients, they must be informed that withdrawal from a research project will in no way affect the quality of any care that they may be receiving. Likewise, this principle should apply to all research participants in receipt of a service, including students. There should be no coercion to participate. If someone does not wish to participate in the research, this must be respected. Where appropriate, a permanent record should be retained of consent gained from individuals.

10.9 Research on minors and vulnerable adults (e.g. those with mental health problems or learning disabilities), should be undertaken with great care. Researchers working in this field must ensure that they have thought through the ethical implications of involving minors and potentially vulnerable groups and have in place safeguards to ensure ethically sound practice. Researchers should also check and comply with legal obligations before proceeding with the research (such as obtaining clearance from the Disclosure and Barring Service prior to commencing research). In any study protocol, the role and responsibilities of individuals on whom the research participant is dependent (e.g. parents, carers, and supporters) must be clearly explained. Where consent is given by a legal guardian or carer it is important to also try and obtain 'real' consent from the research participant.

10.10 When research involves bodily materials of the deceased, consent to use these should ideally come from the deceased themselves (via an informed directive or will), or from the deceased's relatives. Arrangements for the disposal of material and the reporting of findings must be described to relatives.

10.11 *Research Involving Animals:* The Animals (Scientific Procedures) Act 1986 identifies the legal requirements associated with research or teaching involving animal procedures in the UK. Under the provision of the Act, research involving certain animals requires prior approval from the relevant ethics and regulatory committees. All legal requirements and guidelines produced by other appropriate bodies must be adhered to, in particular Home Office

controls. Details of regulation of animal use in scientific procedures, and current legislation, can be located at:

http://www.legislation.gov.uk/ukpga/1986/14/contents

Research involving animals under this Act will require Home Office licences. Researchers planning projects that will involve procedures on animals are required to contact the Chair of the relevant Ethics Committee for guidance and referral to the appropriate University personnel.

10.12 **Ethical Review Procedures:** All research or teaching-demonstrations involving human participants, human material or human data requires ethical consideration to be given to the implications for those taking part in the research and/or whose tissues or data are being used. The requirement for ethical review does not include research where information about human participants is publicly and lawfully available (e.g. census data, academic and professional literature, population statistics published by government departments, law reports and personal letters/diaries in public libraries).

10.13 Where required, approval from an appropriate ethics committee must be gained prior to commencement of the project. If the Researcher is unsure if ethical review is required, all queries should be addressed in the first instance to their Associate Dean of Research, who in turn will consult, if necessary, with the College Ethics Committee or Professional Doctorate Research Ethics Committee.

10.14 For certain types of research (e.g. animal research or research involving the NHS), external ethics committees already exist to consider research proposals, and their use for such research is compulsory. In such cases, neither the College Research Ethics Committees, nor the Professional Doctorate Research Ethics Committee are empowered to give the research proposal ethical approval. Research must be referred to an NHS ethics committee.

10.15 All ethics committees are dependent on the information supplied by the principal investigator to inform their decision-making. It is therefore the responsibility of the researcher to ensure the information provided to those committees is properly researched, full, truthful and accurate.

11 Health and Safety

11.1 It is essential to ensure that there is adherence to all Health and Safety regulations produced by legislators, the University or other relevant bodies. The safety of the participants, staff, students and others connected with the research must have absolute priority at all times and throughout the entire duration of the project. The health and safety of participants, staff, students and others connected with the research is an ongoing and proactive process and it must be taken into consideration as research projects are designed, executed and delivered; including project approval and recruitment of staff, students and participants to the project.

11.2 The University's Health and Safety Codes of Practice must be adhered to and all researchers, supervisors of researchers and research students should be familiar with those that apply to their area of research. The University's Health and Safety Statement Policy, Organisation and Management System

document can be found at:

https://www4.ntu.ac.uk/staffnet/quick-links/a-z/ecentral_a-z_listing.html

11.3 Deans of Schools are responsible for ensuring health and safety requirements are fulfilled in their areas.

11.4 Researchers also have a responsibility to ensure the health and safety of any research participants. Incidents that impact on the health and safety of research participants must be reported to the appropriate person(s)/bodies(s) (e.g. ethics committees, funders, Deans of School). Incident reporting requirements should be agreed by all parties involved in the research for each project prior to commencement.

12   Reporting Breaches of the Code of Practice

Researchers and other members of staff have a duty to report any breach of this Code of Practice where they have good reason to believe it is occurring, reporting in the first instance to either their Associate Dean for Research or Head of College. The University, in accordance with its policy, *Whistle-blowing (Public Interest Disclosures) Policy* (available at: https://www.ntu.ac.uk/staffnet/document_uploads/157408.pdf), will support those who raise concerns about the conduct of research in good faith and will not penalise them.

13   Document Governance and Control

Title:	Code of Practice for Research
Document owner:	Pro Vice-Chancellor (Research)

Version number	Approval date	Approved by	Amendment
2.0	07/10/15	URC	The Code of Practice for Research has been revised to: (i) add a new section on use of student-related data for research purposes, (ii) to make reference to the Research Data Management Policy, and (iii) to clarify coverage of both research students and staff.
3.0	19/10/2016	URC	The Code of Practice for Research now makes reference to sustainability of research: A statement was added at the end of clause 2.3. It is based on the definition of 'sustainable research' as used in the LIFE Index, for which NTU is seeking a Gold award. Further minor amendments have been made to reflect the current shape of research support infrastructure at NTU.