University of the Built Environment
EST. 1919

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Research

Code of Practice

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1. Introduction

This Code of Practice is based on the Code of Practice for Research 2025 created by The UK Research Integrity Office (UKRIO). This was written to encourage good conduct in research. It is intended to help both organisations and individual Researchers to conduct high quality research and to foster a healthy research culture.

The Code is organised into three sections as follows:

- Section 1

  Recommended checklist for Researchers – a checklist summarising the key points of good practice in research that applies to all subject areas. The Checklist is based on the more detailed Standards given in Section 3. Researchers should only complete the checklist after reviewing the Standards and with advice from professional services.

- Section 2

  Commitments – refers to the Commitments from The Concordat to Support Research Integrity, which define the responsibilities and values in the conduct of research by both Researchers, research organisations, funders, and publishers.

- Section 3

  Standards for organisations and Researchers – provides Standards for good practice in research that Researchers and research organisations should comply with. The Standards apply to all disciplines of research.

For the purposes of this Code, "research" refers to the following established definitions:

- The 2029 Research Excellence Framework: "…a process of investigation leading to new insights, effectively shared.";
- The Concordat to Support Research Integrity: "…part of a process leading to new insights."; and
- The Frascati Manual 2015: "…creative and systematic work undertaken in order to increase the stock of knowledge – including knowledge of humankind, culture and society – and to devise new applications of available knowledge."

2. Scope

This Code applies to anyone within or on behalf of the University of the Built Environment conducting research. “Researchers” refers to any person who conducts or supports research in any discipline. This does not apply to students on Undergraduate or Taught Post Graduate courses.

3. Section 1: Recommended checklist for Researchers

This Checklist is replicated from the one produced by UKRIO, the original one can be downloaded for use. Recommended Checklist For Researchers. If this link does not work, please refer to Appendix A for a basic version.

4. Section 2: Commitments

Please refer to the Concordat to Support Research Integrity for greater guidance on:

1. Maintaining the highest standards: the University is committed to upholding the highest standards of rigour and integrity in all aspects of research.
2. Ethical, legal, and other frameworks: the University is committed to ensuring that research is conducted according to appropriate ethical, legal, and professional frameworks, obligations, and standards.
3. Research culture: the University is committed to supporting a research environment that is underpinned by a culture of integrity and based on good governance, best practice, and support for the development of Researchers.
4. Dealing with research misconduct: the University is committed to using transparent, timely, robust, and fair processes to deal with allegations of research misconduct when they arise.
5. Strengthening research integrity: the University is committed to working together to strengthen the integrity of research and to reviewing progress regularly and openly.

5. Section 3: Standards for the University and our Researchers

5.1 General guidance on good practice in research

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

5.1.2 When conducting or collaborating in research in other countries, the University and Researchers should comply with the legal and ethical requirements existing in the UK and in the countries where the research is conducted.

5.1.3 Researchers based abroad who participate in UK-hosted research projects should comply with the legal and ethical requirements existing in the UK as well as those of their own country.

5.1.4 The University and Researchers should ensure that all research projects have sufficient arrangements for insurance and indemnity before the research begins.

5.1.5 The University and Researchers should remain alert to the opportunities and challenges presented by emerging tools, methods, and technologies for research, including artificial intelligence (AI). Responsible use of such emerging tools should be informed by principles of research integrity – particularly rigour, transparency, and accountability – and by relevant legislation, requirements, guidelines, and ethical approvals/permissions for research.

5.1.6 The University will:

a) ensure that good practice in research forms an integral part of our research strategy and accompanying policies;

b) establish clear policies and procedures that cover the Commitments of good practice in research and offer detailed guidance.

c) ensure that these policies and procedures complement and are in accordance with existing organisational policies, such as those for health and safety, reporting channels for raising concerns at work, management of finances or of intellectual property, wellbeing and welfare, and equality, equity, diversity, and inclusivity;

d) make sure that Researchers are aware of these policies and procedures and that all research carried out under our auspices complies with them;

e) provide training, resources, and support to our Researchers to ensure that they are aware of these policies and procedures and are able to comply;

f) consider the research culture and environment and its incentives that may influence positively or negatively on good practice in research;

g) establish clear policies and procedures on Trusted Research that encompass National Protective Security Authority (NPSA) guidelines while maintaining open research, where applicable;

h) encourage our Researchers to consider good practice in research as a routine part of their work; and

i) have a systematic process of regularly reviewing risk assessment to monitor these measures for suitability, effectiveness, and continuous improvement.

5.1.7 Researchers should:

a) recognise their responsibility to conduct research of high ethical standards and follow the University's Research Ethics Approval Policy;

b) be aware of the University's policies and procedures on good practice in research;

c) make sure that their research complies with these policies and procedures, and seek guidance from the Research Office when necessary;

d) work with the University to ensure that they have the necessary training, resources, and support to carry out their research;

e) suggest to the University how guidance on good practice in research might be developed or revised; and

f) comply with open research practices to ensure trustworthy research and minimise risks by adhering to Trusted Research guidelines.

5.2 Leadership, supervision, training and development

5.2.1 Both the University and our Researchers should promote and maintain an environment which fosters and supports research of high ethical standards, mutual co-operation, professionalism, and the open and honest exchange of ideas. Fostering a culture where good conduct in research is promoted while inappropriate conduct is identified and addressed.

5.2.2 The University will provide direction and supervision of research and Researchers, setting out clear lines of accountability for the organisation and management of research. The University will support supervisors and Researchers in meeting the legal and ethical requirements of conducting research. The University will offer and encourage training and support in management and leadership to those responsible for the supervision and development of other Researchers.

5.2.3 The University will provide training for all Researchers to enable them to carry out their duties and develop their knowledge and skills throughout their career by:

a) identifying unmet needs for training and development;

b) providing periodic refresher courses or retraining;

c) providing qualified mentors for early-career Researchers;

d) providing educational opportunities for more-established Researchers;

e) providing ongoing training in responsible research design, conduct, and dissemination; and

f) where relevant, this training should include open research practices, peer review, research ethics, data and image integrity, and transparency of programming codes and scripts, and responsible use of emerging tools, methods and technologies for research.

5.2.4 The University will support the principles of The Concordat to Support the Career Development of Researchers.

5.2.5 The University will provide support for student Researchers. Ensuring that student Researchers understand which standards, policies, and procedures they are expected to comply with and the sources of help and support available to them.

5.2.6 Researchers involved in the supervision and development of other Researchers should be aware of their responsibilities and ensure that they have the necessary training, time, and resources to carry out that role, and request support if required.

5.2.7 The University and individuals in leadership/supervisory roles within it, should promote awareness of good practice in the use of emerging tools, methods and technologies, such as AI. Training and development should be
provided to help Researchers understand the responsible, ethical and legally compliant use of these tools within their discipline.

5.2.8 Researchers involved in the supervision and development of other Researchers should be aware of their responsibilities and ensure that they have the necessary training, time, and resources to carry out that role, and request support if required

5.2.9 Researchers should undergo training to carry out their duties and to develop their knowledge and skills throughout their career, repeating training where necessary to ensure that skills are kept up to date.

5.3 Research design

5.3.1 When designing research projects, the University and Researchers should ensure that:

a) the proposed research addresses pertinent question(s) relevant to the community or beneficiaries and is designed either to add to existing knowledge about the subject in question or to develop methods for research into it; context dependent concepts like repeatability, reproducibility, replicability, reliability, trustworthiness, credibility, authenticity, and meta-research are of equal importance to establish quality;

b) the design is justified and appropriate for the question(s) being asked, and addresses the most important potential sources of bias and criticism;

c) the design and conduct of the study, including how the research outputs will be made, gathered, analysed, stored, and managed, are set out in detail in a prespecified research plan or where possible a protocol submitted to a registry. Open research practices are encouraged.

d) all necessary skills and experience will be available, in the proposed research team or through collaboration with specialists in relevant fields;

e) sufficient resources will be available and that these resources meet all relevant standards;

f) agreements are in place to give appropriate acknowledgement for the intellectual and/or technical contributions to the research output; and

g) any of the above issues are resolved as far as possible before the start of the research.

5.3.2 Researchers should conduct a risk assessment of the planned study to determine:

a) whether there are any ethical issues and complete an ethics review;

b) the potential for risks to the University, the research, or the health, safety, wellbeing and mental health of Researchers and research participants, the public, the environment, national security; and

c) what legal requirements govern the research. Risk assessments should be a continuous process throughout the lifecycle of the research project to mitigate risks and communicating them to appropriate staff in the University.

5.3.3 Where emerging tools, methods, and technologies – such as AI – are used in the design of research, organisations and Researchers should ensure their use is transparent, responsible, and subject to critical review.

5.3.4 Where the design of a study has been approved by an external research ethics committee (REC) or by regulatory or peer review, Researchers should ensure that any later design changes are appropriately reviewed to ensure that they will not compromise the integrity or ethics of the research, or any terms of consent previously given.

5.3.5 Where appropriate, a study should be registered with an appropriate body to align with transparency and openness of the research.

5.3.6 The University will maintain processes to identify and address risks that proposed research, or its results may be misused for purposes that are illegal or harmful.

5.3.7 Researchers should aim to identify risks that the proposed research might produce results that could be misused for purposes that are illegal or harmful (including Dual Use Research of Concern). Researchers should report any risks to, and seek guidance from, the Research Office.

5.3.8 Researchers should aim to identify risks that the proposed research might produce results that could be misused for purposes that are illegal or harmful (including DURC). Researchers should comply with Trusted Research guidelines, report any risks to, and seek guidance from the Research Office and take action to minimise those risks.

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

5.4 Collaborative working

5.4.1 The University and Researchers should follow the Framework to Enhance Research Integrity in Research Collaborations, paying particular attention to projects that include participants from different countries or where work will be carried out in another country, due to the additional legal and ethical requirements and other guidelines that may apply. Refer to the Cape Town Statement on how to foster equitable research partnerships.

5.4.2 When conducting or collaborating in research in other countries, Researchers based in the UK should comply with the legal and ethical requirements both in the UK and in the countries where the research is conducted. They should have clarity over who has competency in overseeing research outside the UK. It may not be necessary to obtain ethics approval if the lead partner already has approval from a Research Ethics Committee in another country whose review process is similar to the standards expected in the UK.

5.4.3 Similarly, organisations and Researchers based in other countries who participate in UK-hosted research projects should comply with the legal and ethical requirements in the UK as well as those of their own country.

5.4.4 The University will work with partner organisations to ensure they agree and comply with common standards and procedures for the conduct of collaborative research, including the resolution of any issues or problems and the investigation of any allegations of misconduct in research.

5.4.5 Researchers involved in collaborations should be aware of the standards and procedures for research followed by any collaborating organisations. They should also be aware of any contractual requirements involving partner organisations, seeking guidance and help where necessary and reporting any concerns or irregularities to the Research Office as soon as they become aware of them.

5.4.6 Researchers should try to anticipate any issues or barriers that might arise because of working collaboratively and agree jointly in advance how they might be addressed, communicating any decisions to all members of the research team. Agreement should be sought on the specific roles of the Researchers involved in the project and on issues relating to intellectual property, Trusted Research, open access, publication, and the attribution of authorship and contributorship, recognising that, subject to legal and ethical requirements, roles and contributions may change during the research.

5.5 Competing interests

The below section should be read in conjunction with the University Conflicts of Interest Policy.

5.5.1 The University and Researchers must recognise that competing interests (i.e., personal, or organisational considerations, including but not limited to rivalry and financial matters) can inappropriately affect research. Competing interests, also known as conflicts of interest (COIs) must be identified, declared, and addressed to avoid poor practice in research or potential misconduct.

5.5.2 When addressing a competing interest, the University will determine whether it is of a type and severity that risks fatally compromising the validity or integrity of the research, in which case the decision will be not proceed with the research, or whether it can be adequately addressed through declarations and/or safeguards relating to the conduct and reporting of the research.

5.5.3 The University should have a clearly written and accessible policy for addressing competing interests, including guidance for Researchers on how to identify, declare, and address competing interests, and should disseminate and explain the policy to Researchers. The University should ensure that Researchers understand the importance of recognising, disclosing, and addressing competing interests in the conduct and reporting of research.

5.5.4 Researchers should comply with their organisation's policy for addressing competing interests, as well as any external requirements relating to competing interests, such as those of funding bodies. This should include declaring any potential or actual competing interests relating to their research to their manager or other appropriate person as identified by their organisation, any ethics committee which reviews their research, and when reporting their findings at meetings or in publications. Competing interests should be disclosed as soon as Researchers become aware of them.

5.5.5 Researchers should agree to abide by any direction given by their organisation or any relevant ethics committee in relation to a competing interest.

5.6 Research involving human participants or personal data

5.6.1 The University and Researchers should make sure that research involving human participants or personal data complies with all legal and ethical requirements and other applicable guidelines such as:

- The UK General Data Protection Regulations (UK GDPR) or any subsequent legislations as part of the Information Commissioner's Office's (ICO's) Guide to Data Protection;
- The National Health Service (NHS) Health Research Authority's (HRA's) operational guidance on the implementation of GDPR for health and social care research;
- The Declaration of Helsinki specifying the ethical principles of involving human participation;
- The UK Policy Framework for Health and Social Care Research;
- And appropriate care should be taken when research projects involve vulnerable groups, such as older participants, children or those with mental illness, and covert studies or other forms of research which do not involve full disclosure to participants. The dignity, rights, safety, and wellbeing of participants must be the primary consideration in any research study. Research should be begun and continued only if the anticipated benefits justify the risks involved.

5.6.2 Researchers should utilise the University systems to ensure the confidentiality and security of personal data relating to human participants involved in research.

5.6.3 Organisations and Researchers working with, for, or under the auspices of, any of the UK Departments of Health and/or the NHS must adhere to all relevant guidelines, such as the Health Research Authority (HTA) guidance.

5.6.4 The University and Researchers should consider the challenges when working with participants, communities and stakeholders and ensure systems are in place for effective communication, monitoring of compliance with all legal and ethical frameworks throughout the research process, including adherence to Trusted Research guidelines.

5.6.5 Researchers should use the University's Research Ethics Approval Policy and accompanying consent forms to ensure that appropriate procedures for obtaining informed consent by are established and observed in projects involving human participants, having regard to the needs and capacity of the participants. The same process should also be used to ensure permission and compliance with any relevant third parties such as regulatory authorities and frameworks.

5.6.6 Researchers should submit research projects involving human participants, or personal data for review by all relevant ethics committees and abide by the outcome of those reviews. They should also ensure that such research projects have been approved by all applicable bodies, ethical, regulatory, or otherwise.

5.6.7 Researchers on projects involving human participants must satisfy themselves that participants are enabled, by the provision of adequate accurate information in an appropriate form through suitable procedures, to give informed consent, having regard to the needs and capacities of vulnerable groups, such as older participants, children, those with mental illness or those in prison all of whom may require gatekeeper permissions. If a participant or gatekeeper cannot give informed consent, the participant should not be involved in the research. Guidance on ethics and gatekeepers can be found in the following:

- UKRIO – Gatekeeper permission;
- Economic and Social Research Council (ESRC) – Research with children and young people;
- ESRC – Research with potentially vulnerable people;
- ESRC – Internet mediated research;
- UKRIO – Good practice in research: Internet-mediated research and additional resources on UKRIO's website here.

5.6.8 Researchers should ensure that co-production, collaboration or participant and stakeholder involvement in research meets and adheres to appropriate methodology and ethical frameworks, with considerations for responsibility, accountability, transparency, respect, expectations, management and sharing or use of the research. See the following for guidance:

- The ESRC Framework on Research Ethics;
- N8 Research Partnership and ESRC report – Knowledge that matters: Realising the Potential of Co-Production;
- The National Institute for Health and Care Research (NIHR) Guidance on co-producing a research project.
- Participatory Research Methods – Choice Points in the Research Process.

5.6.9 Researchers should inform research participants that data gathered during research may be disseminated not only in a report but also in different forms for academic or other subsequent publications and meetings, albeit not in an identifiable form, unless previously agreed to, and subject to limitations imposed by legislation or any applicable bodies, ethical, regulatory, or otherwise.

5.6.10 Researchers should inform research participants of any use of emerging tools, methods, and technologies in the research, such as AI. They must inform them, in non-technical language, of any implications that the tools have for the collection, analysis, storage, and use of their data – for example, any limitations on the right to withdraw participant data from the study.

5.6.11 Researchers who are members of a regulated profession must ensure that research involving human participants or personal data complies with any standards set by the body regulating their profession.

5.6.12 All health and social care research must be registered in a publicly accessible database so that trusted information about the studies is available for the benefit of all. Registering trials reduces research waste, prevents duplication, and allows more participants to engage with the research.

5.6.13 Researchers should publish the findings of all clinical research involving human participants in a timely manner upon completion. They need to be mindful of any restrictions on the reporting period.

5.6.14 If Researchers consider that human participants in research are subject to unreasonable risk or harm, they must suspend the activity that is deemed harmful and then report their concerns to the Research Office, and, where required, to the appropriate regulatory authority. Similarly, concerns relating to the improper use or storage of personal data, should be reported.

5.7 Research involving animals and animal materials

5.7.1 The University and Researchers should make sure that research involving animals adheres to all legal and ethical requirements and other applicable guidelines. They should also ensure responsible use of animal-derived materials (where possible).

5.7.2 The University and Researchers should meet the legal requirements of the 3Rs for reduction, replacement, and refinement of research involving animals and refer to relevant guidance:

- Home Office – Research and testing using animals: licences and compliance;
- Animals in Science Committee (ASC);
- Laboratory Animal Science Association (LASA); and
- UKRIO – A primer on research involving animals.

5.7.3 The University and Researchers should ensure that they continue to address the 3Rs with help from the National Centre for the Replacement, Refinement & Reduction of Animals in Research (NC3Rs).

5.7.4 The University should set up systems to ensure the ethical, regulatory, and peer review of research projects involving animals. The systems should include mechanisms to make sure that such research projects have been approved by all applicable bodies, ethical, regulatory, or otherwise.

5.7.5 The University should ensure that their Researchers are open about animal research and abide by the commitments set out in the Concordat on Openness on Animal Research in the UK.

5.7.6 The University should ensure that their Researchers are trained in all procedures necessary to conduct the research.

5.7.7 The University should make sure that their Researchers are aware of the above systems and have access to all relevant guidance and legal and ethical frameworks.

5.7.8 Researchers should submit a draft project licence application for research projects involving animals for review by their local AWERB and amend their application in accordance with the recommendations of that review.

They must have the necessary procedure training and maintain accurate records. They should also ensure that such research projects have been approved by all applicable bodies, ethical, regulatory, or otherwise before starting the research.

5.7.9 If Researchers consider that animals involved in research are subject to unreasonable risk, harm or licence infringement (either or both project and personal Home Office animal licences), they must suspend the activity that is deemed harmful and then report their concerns to their manager or other appropriate person(s) as identified by their organisation, and, where required, to the appropriate regulatory authority (e.g., Home Office).

5.7.10 Researchers should comply with appropriate standards by following the PREPARE checklist when planning animal research, in conjunction with the ARRIVE guidelines for transparent reporting and dissemination of outputs from research involving animals and/or animal material.

5.8 Health, safety and environmental protection

5.8.1 The University and Researchers should ensure that all research carried out under their auspices, or for which they are responsible, fulfils all requirements of health and safety legislation and good practice. Certain types of research, for example social research in a conflict zone, can present issues of health and safety. They should ensure that all research which involves potentially hazardous or harmful material, or which might cause harm to the environment, complies with all legal requirements and other applicable guidelines for acquisition, use, storage, and disposal.

5.8.2 The University will maintain systems to ensure that such research is reviewed in accordance with the University's policy on health and safety.

5.8.3 Researchers should submit such research for all forms of appropriate review and abide by the outcome of that review.

5.9 Copyright and intellectual property

5.9.1 The University and Researchers should ensure that any contracts or agreements relating to research are appropriately checked and signed by the University and are in compliance with University of the Built Environment Intellectual Property Policy.

Research contracts should include provision for ownership and use of intellectual property. Intellectual property includes but is not limited to research data and other findings of research, ideas, information, designs, patents, trademarks, processes, software, hardware, apparatus and equipment, substances and materials, and artistic and literary works, including academic and scientific publications.

5.9.2 The use of AI and other emerging tools, methods, or technologies may raise novel questions concerning ownership, copyright, and licensing – particularly when tools generate, modify, or incorporate third-party material. Organisations and researchers should seek appropriate guidance and ensure compliance.

5.9.3 The University and Researchers should not give prior disclosure of research or the findings of research when this might invalidate any commercial property rights that could result. Researchers should recognise, however, that the presumption should be that any intellectual property discovered or developed using public or charitable funds should be disseminated to have a beneficial effect on society at large. That presumption may be overridden where there is an express restriction placed on any such dissemination. Any delay in publication and dissemination pending protection of intellectual property should be reasonable and kept to a minimum.

5.9.4 The University and our Researchers must comply with any additional conditions relating to intellectual property required by funding bodies.

5.9.5 The University will clearly state any exceptions when the standard guidance might not apply; for example, waiving copyright of research theses, dissertations, and articles prepared for publication in journals or books.

5.9.6 The University will, where necessary, justify ownership and account for policies that introduce restrictions and barriers to open research.

5.9.7 Researchers should try to anticipate any issues relating to intellectual property at the project planning stage or at the earliest opportunity before dissemination and agree jointly in advance how they might be addressed, communicating any decisions to all members of the research team.

5.9.8 Researchers intending to copyright research material or output must comply with relevant legislation and guidelines (see government guidelines on copyright), and ensure that these do not conflict with open access terms or other conditions of funding agreements.

5.10 Finance

5.10.1 The University and Researchers should ensure that the terms and conditions of any grant or contract related to the research are adhered to.

5.10.2 The University will issue guidelines regarding the legal and ethical purchasing or procurement of materials, equipment, or other resources for research and the hiring of staff for research projects. These guidelines should include statements on the ownership of resources, storage, and maintenance (if applicable), and the rights of Researchers to use them. Organisations should also set up procedures for the monitoring and audit of finances relating to research projects.

5.10.3 Researchers should comply with organisational guidelines regarding the use and management of finances relating to research projects. They should cooperate with any monitoring and audit of finances relating to research projects and report any concerns or irregularities to the appropriate person(s) as soon as they become aware of them.

5.11 Generation, collection and retention of data, information or material

5.11.1 The University and Researchers should comply with all legal, ethical, funding body and organisational requirements for the generation, collection, use, storage, and security of data, especially personal data, where particular attention should be paid to the requirements of data protection legislation provided in the GDPR (or subsequent legislation) by the Information Commissioner's Office (ICO). They should also maintain confidentiality where undertakings have been made to third parties or to protect intellectual property rights. Researchers should ensure that research data relating to publications is available to other Researchers, subject to any existing agreements on confidentiality.

5.11.2 Data should be kept intact for any legally specified period and otherwise for three years at least, subject to any legal, ethical, or other requirements, from the end of the project. It should be kept in a form that would enable retrieval by a third party, subject to limitations imposed by legislation and general principles of confidentiality. Depositing in the University's Repository is expected so as to ensure reproducibility and efficient research on research.

5.11.3 If research data (and/or materials) is to be deleted or destroyed, either because its agreed period of retention has expired or for legal or ethical reasons, it should be done so in accordance with all legal, ethical, research funder and organisational requirements and with particular concern for confidentiality and security.

5.11.4 The University will have in place procedures, resources (including physical space), and administrative support to assist Researchers in the accurate and efficient collection of data and metadata, and its storage in a secure and accessible form. Guidelines are in place to fulfil open data requirements and expectations for transparency and accountability. See Data Management Policy.

5.11.5 Any subsequent policies created by the University relating to AI should be followed and the University commits to continuing to monitor and develop policies in this area. Such policies should consider the challenges posed by artificial intelligence (AI)-generated content for intellectual property rights and other research integrity concerns and have clear policy and guidance in place to effectively regulate technology that have potential for harm across all disciplines and wider society. The policy should define who is responsible and accountable for the use of generative AI in research conducted under the auspices of the organisation.

5.11.6 Researchers should consider how data will be gathered, analysed, and managed, and how and in what form relevant data will be made available to others under open research practices, at an early stage of the design of the project.

5.11.7 Researchers should collect data accurately, efficiently, and according to the agreed design of the research project and ensure that it is stored in a secure and accessible form. Processing of personal data must comply with GDPR guidelines.

5.11.8 The use of AI in data collection or processing must be transparent, reproducible, and documented. Researchers should ensure that data generated or influenced by AI systems is properly archived and described.

5.12 Monitoring and audit

5.12.1 The University and Researchers should ensure that research projects comply with any monitoring and audit requirements. The University will make sure that Researchers charged with carrying out such monitoring and audits have sufficient training, resources, and support to fulfil the requirements of the role.

5.12.2 The University will monitor and audit research projects to ensure that they are being carried out in accordance with good practice, legal, and ethical requirements, and any other guidelines, adopting a risk-based and proportional approach.

5.12.3 Researchers should consider any requirements for monitoring and audit at an early stage in the design of a project.

5.12.4 Researchers should cooperate with the monitoring and audit of their research projects by applicable bodies and undertake such when required. They should cooperate with any outcomes of the monitoring and audit of their research projects. If they become aware of a need for monitoring and audit where it is not already scheduled, they should report that need to the appropriate person(s).

5.13 Peer review

The University does not currently mandate Peer Review; however it is encouraged. Where a Peer Review is undertaken these steps should be followed.

5.13.1 The University and Researchers should be aware that peer review is an important part of good practice in the publication and dissemination of research and research findings, the assessment of applications for research grants, and in the ethics review of research projects. Training and support for peer review is available through the Research Office.

5.13.2 The University will encourage and enable Researchers to act as peer reviewers for meetings, journals, and other publications, grant applications and ethics review of research proposals, and support those who do so through training and/or mentoring schemes. The University recognises the obligations of peer reviewers to be thorough and objective in their work and to maintain confidentiality, and will not put pressure, directly or indirectly, on peer reviewers to breach these obligations.

5.13.3 Researchers who carry out peer review should do so to the highest standards of thoroughness and objectivity. They should follow the guidelines for peer review of any organisation for which they carry out such work as well as the Committee on Publication Ethics (COPE) guidance for publication ethics.

5.13.4 Researchers who agree to peer review must be aware of and avoid both status bias (also known as the Matthew effect – see Box 1) and implicit bias (commonly known as unconscious bias – see Box 2) throughout the review process. To facilitate this, they could encourage the relevant body requesting the peer review to anonymise reviewers to author names and affiliations.

Box 1	***Box 2***
Originally developed by Merton (1968) to describe the situation in which individuals who begin in a position of relative advantage accrue greater incremental gains over individuals who begin at a position of relative disadvantage. For example, a reviewer may give a higher score to a grant application or accept a manuscript for publication if the author is a well-known and established researcher with excellent track record. However, if the same grant or manuscript is submitted by a relatively unknown researcher (e.g., someone at the early-mid career stage), the reviewer may give a lower score on the grant or reject the manuscript for publication. *The Matthew Effect (Status Bias)*	*Various biases developing gradually in the subconscious because of beliefs, assumptions and attitudes (which may or may not be ethnocentric) that reinforce stereotypes and assigns judgements on others. Examples include but are not limited to:* *• Name bias* *• Confirmation bias* *• Conformity bias* *• Affinity bias* *• Gender bias* *• Ageism* *• Implicit Bias (Unconscious Bias).*

5.13.5 Researchers should maintain strict confidentiality and not retain or copy any material under review without the express written permission of the organisation which requested the review. Maintaining confidentiality includes not sharing any material with generative AI tools. They should not make use of research designs, data, or research findings from a grant application, manuscript, or other material 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 competing interests and decline to peer review if they have significant conflicts.

5.13.6 While carrying out peer review, Researchers may become aware of possible misconduct 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, publisher staff, or the chair of the relevant grants or ethics committee. Investigation of allegations of research misconduct is the responsibility of the publisher, funder, organisation, or other relevant bodies.

5.13.7 Researchers who submit material containing research data or information derived from machine learning algorithms and non-sensitive data should ensure all programming scripts (e.g., using Python, R or other scripting language) and data are openly accessible to reviewers.

5.13.8 Researchers must not use AI to support peer review without explicit permission. Uploading confidential manuscripts into generative tools may breach trust or policy.

5.14 Dissemination of research outputs

5.14.1 Research outputs are of a wide variety. While not exhaustive, this document considers research outputs as listed in the REF 2021 as follows:

"217. In addition to printed academic work, research outputs may include, but are not limited to: new materials, devices, images, artefacts, products, and buildings; confidential or technical reports; intellectual property, whether in patents or other forms; performances, exhibits or events; and work published in non-print media." Guidance on submissions (2019/01) Paragraph 217.

5.14.2 Researchers should refer to the policy on Authorship and Publication (Research). All research outputs produced by the University Researchers must be deposited in the University's repository. This should be done within three months of the date of acceptance. The Research Office can provide up to date guidance notes and training for using the Repository.

5.15 Open access to research outputs, data, findings or outcomes

5.15.1 The University and Researchers should adhere to the recommendations of the Budapest Open Access Initiative (BOAI) when considering whether open access is granted immediately for research theses and dissertations submitted to a repository that promotes interoperability and facilitates efficient dissemination, or to embargo for a defined period with restricted access to abstract and metadata.

5.15.2 The University and Researchers should abide by the Concordat on Open Research Data and follow guidance on good practice in open research and regulatory frameworks according to disciplinary norms.

5.15.3 The University will utilise resources available for open access and ensure guidelines and policies are in place for accountability and transparency of research material, data, metadata, and outputs when made available for open access.

5.15.4 Researchers should consider whether open access is granted immediately to support dissemination, reproducibility, and integrity of research outputs, findings, data, and other research material or to embargo full access for a limited period.

5.15.5 Researchers must specify terms that permit universal re-use, redistribution, and interoperability of research data and outputs disseminated under an open licence (e.g., Creative Commons) of the appropriate type and level. The data and outputs must be available in full in a format that is convenient and modifiable.

5.16 Funding and collaboration in research and enterprise

5.16.1 The University and Researchers collaborating with commercial or other non-research organisations must have a collaboration agreement signed before any work commences that stipulates key roles, responsibilities, obligations, and rights of all parties, and how the research will be jointly managed. The agreement should clarify ownership of intellectual property, authorship, and specify exemptions to open licensing terms for the use of research material and legally protected databases. The agreement must reflect any funding terms and conditions including conditions for funding transfer between sponsors and collaborators or commercial partners.

5.16.2 Before agreeing to any collaboration with multinational organisations or Researchers outside the UK, Researchers (with the help of the Research Office) must undertake a risk assessment and due diligence to ensure national security and compliance with legal requirements and financial agreements in the UK and all relevant countries. Ethical approvals (if applicable) must be in place from all relevant countries and research protocol(s) agreed upon by all parties.

5.16.3 The University and Researchers must conduct a risk assessment for research that is subject to export control restrictions, acquiring an export licence if needed, and manage the research under appropriate Trusted Research guidelines:

- The government and academia Research Collaboration Advice Team (RCAT) provides advice on national security risks linked to international research.
- The Higher Education Export Control Association (HEECA) provides guidance and training on export control compliance for universities.
- Universities UK (UUK), the Centre for the Protection of National Infrastructure (CPNI – now known as the NPSA) and UK Research and Innovation (UKRI) have published guidelines on Managing risks in international research and innovation.

5.16.4 The University will ensure that agreements are in place that specify relevant terms and conditions for engaging any research partners, including commercial and other non-research organisations, in research funded by a major grant award to the organisation or other funding agreement held by the organisation.

5.16.5 The University will exercise due diligence when accepting funds from businesses and multinational co-operations, including foreign government associates. Funding should only be accepted from funders with a good track record of awarding research grants and with terms and conditions of funding that do not carry risks to security, finance, or reputation, and are compliant with legal and ethical regulations and requirements.

5.16.6 Researchers must ensure that any relevant ethical approvals or permissions are in place before starting contract research or research with high economic impact. Such research should be conducted in accordance with relevant Trusted Research guidance and appropriate sector-specific Guidelines:

- The National Directive on Commercial Contract Research Studies guide from the NHS HRA and NIHR for health and life sciences.
- Business R&D in the arts, humanities and social sciences - Creative Industries Policy and Evidence Centre policy briefing from the Creative Industries Policy & Evidence Centre and Nesta.

5.17 Breaches of Research Integrity

5.17.1 Researchers should refer to the University Research Misconduct policy.

5.18 Research culture

5.18.1 The University and Researchers should promote uptake of good practice to improve research culture and encourage attendance to internal and external research integrity training courses, and these should be clearly and efficiently communicated to staff they are responsible for (inclusive of research assistants and technicians) and students across the University.

5.18.2 The University and Researchers should contribute to creating an environment that encourages and facilitates equality, equity, diversity, and inclusivity (EEDI) at all levels of the organisation. This includes but is not limited to provisions for individuals with protected characteristics such as:

a) visible and invisible disabilities;

b) neurodiversity;

c) religion, faith and no faith;

d) minority groups (e.g., ethnicity, gender); and

e) caring duties.

5.18.3 The University and Research supervisors should incorporate awareness, understanding, recognition, and management of stress, depression, anxiety, or other mental health conditions of Researchers into their pastoral support and attend any routine training programmes provided by the University.

5.18.4 Research supervisors (PGR supervisors and line managers of research staff) should promote a positive workplace culture and:

a) be encouraging to and motivate other Researchers;

b) encourage good behaviour and attitude;

c) accommodate flexible working where possible;

d) maintain work-life balance;

e) support provisions for sick leave, parental leave and caring duties;

f) avoid presenteeism; and

g) avoid unrealistic demands that increase workload but decrease productivity. Time pressure and workload issues have a significant impact on good research culture and can open the door to questionable research practices that may lead to research misconduct.

5.18.5 The University and Researchers should foster a culture where responsible, creative, and ethical use of emerging tools, methods, and technologies – such as AI – is supported through training, policy, and critical dialogue.

5.18.6 The University define what they consider to be the key supportive activities to promote a healthy research culture. These need to be tailored to specific disciplines and be:

a) sustainable and flexible;

b) secure and funded;

c) collaborative and friendly;

d) diverse, inclusive, and fair;

e) creative, open, and encouraging;

f) stimulating and inspiring;

g) innovative and rewarding;

h) honest and rigorous; and

i) balanced

5.18.7 A well-signposted report and support system should be in place that provides a simple way for anyone to raise concerns of inappropriate behaviour, bullying, harassment, and violence. This ensures that the University has a robust and consistent management tool to implement long-term preventative solutions and improve workplace culture.

5.18.8 The University will have clear policies for explicitly tackling online bullying, harassment, and hate incidents. This should be strengthened with good reporting structures and networks, having professionally trained staff at all levels, and embedding education and training for students within their curriculum and for staff throughout their employment.

5.18.9 The University will allocate funds and have mechanisms in place to address the concerns of researchers and research-enabling staff. They should establish rigour and reproducibility by reviewing grant applications or research outputs to improve quality prior to submission. Funds may be designated for internal and external validation of research data, creative works, products, results, or information.

5.18.10 The University will integrate research integrity training into induction and orientation programmes and offer courses and workshops to Researchers and, where appropriate, for research-enabling staff. This will require that researchers and, where appropriate, research-enabling staff have ongoing education on research ethics, governance, integrity, and culture, and provide the necessary reporting to support them.

5.18.11 The University will provide training and clear guidelines for dealing with staff and students suffering from depression, anxiety, and other mental health conditions and ensure adequate support for researchers and research-enabling staff affected as well as resources for staff providing support.

5.18.12 The University will acknowledge and reward departments, researchers, and research-enabling staff that promote research integrity, encourage interdisciplinary interaction (social and academic), and participate in national and international networks or forums for exchange of knowledge and resources.

5.18.13 The University will use UKRIO's Self-Assessment Tool to regularly review the effectiveness of their policies on improving research culture, and highlight issues that need to be addressed.

5.18.14 Researchers should regularly refresh themselves with policies and practices relating to research integrity and ethics to promote trust in research.

5.18.15 Researchers who supervise or otherwise manage/lead research staff (inclusive of research assistants, technicians, and research-enabling staff) or students should have adequate training in supervision and management to avoid disconnected leadership and seek support and advice from experienced colleagues, the University, and/or other supporting bodies.

5.18.16 Research supervisors/managers/leaders should ensure that they have adequate psychosocial support for themselves as well as for their staff or students.

5.19 Research assessment

5.19.1 Researchers should consider the principles, commitments and framework set out in the Agreement on Reforming Research Assessment by the Coalition for Advancing Research Assessment (CoARA) when assessing research outputs, practices and activities. Judge research based on quality, reliability, reproducibility and/or authenticity rather than on the popularity of the authors, their affiliation, the journal, or other output mechanisms:

a) Recognise the diversity of contributions to, and careers in, research in accordance with the needs and nature of the research.

b) Base research assessment primarily on qualitative evaluation for which peer review is central, supported by responsible use of quantitative indicators.

c) Abandon inappropriate uses in research assessment of journal- and publication-based metrics, in particular, inappropriate uses of Journal Impact Factor (JIF) and h-index, noting UKIRO's declaration to the DORA agreement

d) Avoid the use of rankings of research organisations in research assessment.

e) Allocate resources to reforming research assessment as is needed to achieve the changes organisations are committed to.

f) Review and develop research assessment criteria, tools, and processes.

g) Raise awareness of research assessment reform and provide transparent communication, guidance, and training on assessment criteria and processes as well as their use.

h) Exchange practices and experiences to enable mutual learning within and beyond the Coalition.

i) Communicate progress made on adherence to the Principles and implementation of the Commitments.

j) Evaluate practices, criteria and tools based on solid evidence and the state-of-the-art in research on research and make data openly available for evidence gathering and research.

5.20 Artificial Intelligence (AI)

5.20.1 The University and Researchers should recognise that while AI offers considerable benefits, its use also raises legal, ethical, and integrity-related risks.

5.20.2 To uphold research integrity, Researchers and the University must ensure that the use of AI is transparent, proportionate, accountable, and in line with applicable laws, policies, and disciplinary standards. This includes understanding and mitigating the limitations of AI systems, ensuring robust oversight, and documenting AI use clearly.

5.20.3 The University and Researchers should recognise that the use of AI in research may raise issues related to data protection, intellectual property, transparency, explainability, fairness, and accountability, as well as ethical considerations. These issues and considerations apply to both off-the-shelf and bespoke tools, regardless of where AI is used – in research design, data collection, analysis, dissemination, or peer review.

5.20.4 The University and Researchers should use AI tools in ways that are consistent with relevant laws and sector guidance. For example, the UK Department for Science, Innovation and Technology white paper AI Regulation: a pro-innovation approach sets out five principles for responsible AI use:

- Safety, security and robustness;
- Appropriate transparency and explainability;
- Fairness;
- Accountability and governance; and
- Contestability and redress.

5.20.5 UKRIO provides detailed and practical guidance on the responsible use of AI in research in Embracing AI with integrity: A practical guide for researchers.

5.20.6 Ethical risks associated with AI use – such as informed consent, data security, social bias and inequality, environmental impact, and potential dual use/misuse – should be assessed and, where appropriate, reviewed by a research ethics committee (REC). Where the use of AI poses significant or novel risks, early engagement with research integrity, governance, and ethics support is recommended.

5.20.7 The University and Researchers should ensure that the use of AI in research is subject to proportionate oversight. Human review and critical thinking remain essential throughout the research lifecycle to verify AI-generated content and guard against misuse or error. Fostering creativity alongside critical evaluation helps researchers leverage AI responsibly without diminishing original insight or intellectual contribution.

5.20.8 The University and Researchers should consider whether the training data or algorithms used by an AI system may introduce bias, be incomplete, or lack appropriate provenance. This is particularly critical in high-stakes research areas such as health and social care, environment, or public policy.

5.20.9 The University and Researchers should maintain accurate records of AI use in research, including inputs, tool versions, settings, and outputs. This is important for reproducibility, accountability, and responding to queries about the research record.

5.20.10 AI use should be disclosed transparently in research outputs. Many publishers and funders have introduced specific requirements, such as the following, for declaring AI-assisted writing or analysis. Researchers must follow these and ensure acknowledgements accurately reflect how AI tools were used:

- Committee on Publication Ethics (COPE) – Authorship and AI; and
- JAMA – Reporting Use of AI in Research and Scholarly Publication—JAMA Network Guidance.

5.20.11 The University and Researchers must also remain vigilant to new forms of breaches of research integrity facilitated by AI, including fabricated citations or content, undisclosed use of AI-generated writing, breaches of peer review confidentiality, or breaches of ethical protocols and other permissions for research.

5.20.12 The University will develop and keep up-to-date clear policies, systems and guidance on the use of AI in research. These should:

a) cover topics such as acceptable use, approved tools, risk assessment, data protection, and requirements for ethical approval;

b) explicitly incorporate the protection and maintenance of the research record, including guidelines on documentation and archiving of AI-generated data and outputs; and

c) provide clear guidance on AI's role in research dissemination practices, including peer review and publishing, to promote transparency, uphold quality standards, and manage ethical considerations linked to AI-assisted outputs.

5.20.13 The University will communicate to researchers any limitations or prohibitions on specific AI services and, where possible, provide access to approved AI tools under institutional licences to support accountability and responsible use.

5.20.14 The University will provide training and development to help Researchers develop AI literacy, with a focus on legal compliance, ethical considerations, transparency and protecting the research record, good dissemination practices, bias mitigation, and ensuring critical thinking.

5.20.15 The University will establish mechanisms to assess emerging risks associated with AI, including review of high-risk projects (e.g., AI in health, defence, or international partnerships) in light of national frameworks for research security such as Trusted Research and the National Security and Investment Act (2021).

5.20.16 Researchers should reflect critically on whether the use of AI is appropriate, proportionate, and necessary at each stage of the research process. For each proposed use of AI, they should consider whether it enhances or diminishes transparency, rigour, originality, and ethical standards.

5.20.17 Researchers should adopt Explainable AI (XAI), a growing area of research focused on making the decision-making processes of AI systems transparent and understandable. By ensuring clarity, XAI can reduce biases, minimise errors, and improve trust – particularly when AI is used for decision support or predictive tasks. For further insight, The Royal Society has produced a helpful policy briefing titled Explainable AI: the basics.

5.20.18 Researchers should not use AI tools to process or store personal or sensitive data unless this is lawful, justified, and approved by their organisation. They should review AI providers' terms, privacy policy, and data handling practices to assess risk. It is strongly advised that any information that could identify an individual – known as personal data – should not be entered into an AI system.

5.20.19 Any use of AI must be in line with data protection laws such as the UK General Data Protection Regulation (UK GDPR) and the Data Protection Act 2018. See also ICO's Guidance on AI and Data Protection.

5.20.20 When using AI tools for writing, image generation, or data analysis, Researchers should maintain human oversight and not rely uncritically on outputs. They should be especially cautious of "hallucinated" or otherwise inaccurate content or fabricated citations and always verify references manually.

5.20.21 AI should not be used to support peer review or grant assessments unless explicitly permitted. Uploading confidential material into AI systems without permission may breach journal, funder, organisational, or data protection requirements.

5.20.22 Research students should avoid using AI to complete assessments unless this is expressly permitted and declared. Undisclosed use may constitute academic misconduct.

5.20.23 Researchers should maintain a proactive commitment to creativity, ensuring AI tools complement rather than replace critical thinking, human oversight, and innovation. They should stay informed about the use of AI in research, recognising that it is evolving rapidly and that expectations for transparency, reporting, and responsible use are likely to continue developing. If researchers are uncertain about any aspects of AI use, they should seek expert advice from their supervisor or manager, the University's research integrity officer, or other expert resources before proceeding.

Signed by: 

Professor Angela Lee

Chair of the Research Committee

Date: 09/06/2025

Appendix A

Part I – Before conducting your research, and bearing in mind that, subject to legal and ethical requirements, roles and contributions may change during the research:		Yes / No
1	Does your proposed research address pertinent question(s) and is it designed either to add to existing knowledge about the subject in question or to develop methods for research into it? – inclusive of: • repeatability; • reproducibility; • replicability; • trustworthiness; • credibility; • authenticity; and • meta-research	
2	Is your research design and methodology appropriate for your research question(s)?	
3	Will you have access to all the necessary skills, training, and resources to do your research?	
4	Have you done a risk assessment and due diligence to check for and mitigate: a) potential risks to: • your organisation; • the environment; • the research; or • the health, safety, and well-being of Researchers and • research participants b) potential risks to research and innovation	

5	Will your research comply with Trusted Research guidelines to protect yourself and the research from potential exploitation, misuse, and theft?	
6	Will your research comply with legal, organisational, funder, and other requirements/guidelines for the responsible use of emerging tools, methods, and technologies for research, such as artificial intelligence (AI)?	
7	Have you signed all contracts (including collaboration agreements if relevant) before commencing the research and will your research comply with contractual and financial guidelines relating to the project?	
8	Have you identified any potential intellectual property arising from the research and reviewed ownership, licensing, and protection strategies in accordance with your organisational and funding requirements?	
9	Has your research had any necessary ethics review, especially if it involves: • human participants; • human material; • personal data; • animals (inclusive of non-ASPA, i.e., animals that do not fall • under the Animal Scientific Procedures Act 1986); • animal materials; • microbiomes; • environmentally hazardous agents; • use of emerging tools, methods, or technologies that raise ethical considerations such as AI; or • dual use research of concern (DURC)	
10	Will your research comply with all legal (including health and safety) and ethical requirements and other applicable guidelines, including those from other organisations and/or countries, if relevant?	

11	Will your research comply with good practice requirements and where relevant, follow open research practices?	
12	Have you agreed how you will disseminate outputs (inclusive of journal articles, conferences, book chapters, pre-prints, registered reports, abstracts, etc.), and discussed authorship and contributorship?	
13	Have you considered how your research will comply with any monitoring, audit, and data management requirements?	
14	Have you agreed on the roles of all the Researchers and responsibilities for management and supervision?	
15	Have all competing interests relating to your research been identified, declared, and addressed?	
16	Where applicable (e.g., clinical trials or systematic reviews), has your research been registered with the appropriate body?	
17	Are you aware of the policies for addressing breaches of research integrity for all relevant organisations (sometimes called research misconduct policies or investigation procedures), and do you know which policies/procedures will take precedence?	

Part II – When conducting your research:		Yes / No
1	Are you following the agreed design and methods for the project?	
2	Have any changes to the agreed design, methods, and hypotheses been reviewed and approved, if applicable?	
3	Are you following best practices to collect, create, produce, compile, store, and manage your research outputs?	
4	Are agreed roles and responsibilities for management and supervision being fulfilled?	
5	Is your research complying with any monitoring, audit, and appropriate data storage requirements?	

6	Is your research in compliance with all requirements and guidelines for the responsible use of emerging tools, methods, and technologies for research (such as AI), including human oversight and transparency?	
7	Have you reviewed authorship and contributorship agreements at this stage of the project?	

Part III – When finishing your research:		Yes / No
1	Does your research comply with all legal, ethical, and contractual requirements?	
2	Are agreements relating to intellectual property, publication, authorship, contributorship, international collaboration, and innovation being complied with?	
3	Will all contributions to the research be acknowledged?	
4	Will your research and all its findings (inclusive of null results) be reported accurately, honestly, completely, and within a reasonable time frame?	
5	Will the research outputs be retained in a secure and accessible form and for the required duration?	
6	Will research outputs be made open and accessible?	
7	Will research outputs comply with all dissemination requirements and guidelines relating to the use of emerging tools, methods, and technologies for research (such as AI) including full and transparent disclosure of their use?	