



**Owner:** Research & Knowledge Exchange Office  
**Version number:** 2  
**Date of approval:** September 2014  
**Approved by:** University Research & Knowledge Exchange Committee  
**Effective date:** September 2014  
**Date of last review:** N/A

*This document is part of a revised series of Academic Regulations, Policies and Procedures which govern the University's academic provision. Each document has a unique document number to indicate which section of the series it belongs to.*

# Code of Good Research Practice

August 2014

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# 1 INTRODUCTION

Bournemouth University (BU) recognises its responsibility to researchers and the wider community to ensure the highest standards of integrity and professionalism are observed in the conduct of research. This Code of Good Research Practice (henceforth referred to as the Code) provides guiding principles and standards of good practice in research across all subject disciplines and fields of study in the University. It requires all those undertaking and/or contributing to research to adhere to the highest standards of performance and ethical conduct, and embed good practice in all aspects of their work. They must operate honestly and openly in respect of their own actions and in response to the actions of others involved in research.

BU requires all staff (including PTHP), students and visiting faculty (henceforth referred to as researchers) involved in research to abide by the Code. Where any other individual who collaborates in research with BU staff and students is not bound by an equivalent Code through their employer or other organisation, the individual shall be expected to abide by the Code when working with the University unless otherwise agreed.

These principles of good practice underpin the University's commitment to effective research governance, the pursuit of excellence and the highest quality research.

The Code draws on a number of sources of guidance and good practice available to the research sector in the UK and internationally, including:

- [RCUK Policy and Guidelines on Governance of Good Research Practice, February 2013](#);
- [The Concordat to Support Research Integrity, July 2012](#);
- [UKRIO Code of Practice for Research: Promoting Good Practice and Preventing Misconduct, September 2009](#).

The Code and its implementation will be reviewed by the [Research & Knowledge Exchange Office](#) (RKEO) on an annual basis at the end of the academic year in consultation as appropriate with relevant individuals or groups and will be approved by the University Research & Knowledge Exchange Committee (URKEC). The review will take into account changes and recommendations from external research funders, Acts of Parliament and other regulations.

Failure to comply with the Code or any actions that may be deemed to constitute research misconduct, under the University's [6M – Misconduct in Academic Research: Policy and Procedure](#) document may be grounds for instigating disciplinary proceedings.

The University recognises and protects the principle of academic freedom in its ordinances and the Code is not intended to restrict the academic freedom of staff. However, each member of staff is expected to exercise their academic freedom in a manner consistent with the Code.

## 2 PRINCIPLES OF GOOD PRACTICE IN RESEARCH

It is the responsibility of all engaged in research<sup>1</sup> to adhere to the following principles:

### Excellence

- Strive for excellence<sup>2</sup> when conducting research;
- Aim to design, produce and disseminate work of the highest quality and ethical standards;
- Promote and support good research practice.

### Integrity

- Observe and comply with all legal, regulatory and ethical requirements in the UK and in countries where research is conducted or participants are from, relevant to the field of study and any collaborative partner organisations;
- Maintain knowledge and awareness of relevant and up-to-date legislative and regulatory requirements, professional body codes of practice, University policies and procedures, accessing support and guidance provided by [RKEO](#), as needed;
- Ensure research has been appropriately reviewed, and necessary regulatory, funding and ethical approvals, internally to the University and externally, have been obtained;
- Recognise and declare any actual, potential or perceived conflicts of interest relating to research and seek advice and/or to take steps to resolve them.

### Honesty and Openness

- Foster and support honesty in research, in relation to your own research and that of others;
- Ensure research designs, methodologies, data, findings and results are open to scrutiny (subject to appropriate confidentiality applicable to personal or commercially protected data);
- Ensure the accuracy, security, accessibility and completeness of data and results, appropriately acknowledge the contributions of others, and neither engage in misconduct nor conceal it;
- Ensure data and results are retained and deleted/destroyed in accordance with all legal, ethical, funding body and University requirements;
- Consider the wider consequences of their work and to engage critically with the practical, ethical and intellectual challenges that are inherent in the conduct of high quality research.

### Co-operation

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

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<sup>1</sup> Research is a form of disciplined enquiry which aims to contribute to a body of knowledge or theory.

<sup>2</sup> Excellence in research, in the context of an overall case for excellence, will demonstrate work of originality which has made an observable impact on the subject. It is measured against *output* and should show a substantial body of work of international (or where appropriate, national) quality. In general, is the *quality of the contribution* in the different areas of activity or roles undertaken, rather than the *quantity of activity*, that distinguishes excellence from satisfactory performance.

## **Accountability**

Recognise that in and through their work they are ultimately accountable to the general public and should act accordingly. They should ensure that any research undertaken complies with any agreements, terms and conditions relating to the project, and allows for proper governance and transparency. This should include ensuring there are fully auditable records of, for example, timesheets, participants' consent, where required, all relevant approvals, and have access to and understanding of any associated legal agreements, grant terms and conditions, etc. Researchers should follow the requirements and guidance of any professional bodies in their field of research and those who are members of a regulated profession must follow the requirements and guidance of the body regulating their profession.

## **Training and development**

The University provides training and opportunities for the development for researchers, and resources to enable them to conduct research to the required standards. Researchers should ensure that they have the necessary skills, training and utilise the related resources to carry out research, in the proposed research team or through collaboration with specialists in relevant fields, and identify and undertake appropriate training and development to carry out their research. Training and development opportunities are further detailed in Section 4: Training.

## **Safety**

Researchers should ensure the dignity, rights, safety and well-being of all involved in research and avoid unreasonable risk or harm to research subjects, participants, patients, animals, researchers and others.

Researchers should risk assess, report and address any concerns relating to the dignity, rights, safety and well-being of those involved in research. Research should be initiated and continued only if the anticipated benefits justify the risks involved. The responsibility for risk assessments lies with the Schools/Faculty and more information can be found on the University's [Health, Safety and Wellbeing](#) page on the Staff Intranet.

Researchers should ensure that all research projects comply with appropriate health and safety legislation and regulation, and have sufficient insurance and indemnity prior to the research being conducted. The [Health, Safety and Wellbeing](#) team can advise on current legislation and regulation.

More detail on Health & Safety can be found in Section 9: Health & Safety.

### 3 LEADERSHIP & SUPERVISION

The University through its Code of Good Research Practice promotes an environment which fosters and supports research of high ethical standards, mutual co-operation, professionalism and the open and honest exchange of ideas and there are clear procedures to identify and address inappropriate conduct through the [6M – Misconduct in Academic Research: Policy and Procedure](#) document.

The University encourages career development of their researchers and provides training and mentoring of new and existing researchers supporting the principles of the [Concordat to Support the Career Development of Researchers](#). Additionally, the University's Research Concordat Steering Group developed a Code of Practice for the Recruitment and Career Development of Researchers<sup>3</sup>.

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.

#### **Research Degree Student Supervision**

The above principles should also apply to the supervision of Postgraduate Researchers (PGRs). Academic members of staff who will undertake doctoral supervision must be clear about their roles and responsibilities which are set out in [8A – Code of Practice for Research Degrees](#). In particular, as doctoral supervisors, they must ensure their PGR(s) adheres to all BU's policies, procedures and regulations including but not limited to, research ethics, health and safety, academic misconduct, copyright, data protection and intellectual property rights.

All PGRs and Doctoral Supervisors are required to familiarise themselves with the [Research Ethics Code of Practice](#) (RECP) and review ethical considerations at the outset of the research. To apply for ethical approval, PGRs are required to submit an ethics checklist via the Online Ethics Checklist.

Before agreeing to supervise a student, supervisors should satisfy themselves that they have the necessary knowledge and expertise to supervise the project which the student wishes to undertake, that the project is appropriate for the degree concerned and can reasonably be undertaken with the resources available and in the required timescale, and that they are confident, as far as is possible, that the student has the capacity to undertake the project successfully.

Both the supervisor and the department have a number of specific responsibilities in regard to research students. These and other information can be found in the academic regulations, policy and procedures [8A – Code of Practice for Research Degrees](#) developed by the Graduate School.

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<sup>3</sup> The Code of Practice for the Recruitment and Career Development of Researchers is currently in draft and will be included in this document once finalised.

## **4 TRAINING**

The University offers a wide range of training for researchers to enable them 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. Researchers should identify needs for training when they arise and report them to their manager or other appropriate person as identified by their department.

Organisational and Staff Development is the staff training unit for the University and they offer a range of opportunities for staff and bespoke opportunities for Schools/Faculty. A number of departments also offer bespoke and tailored training for its staff, researchers and students (such as the Graduate School and RKEO) and you are advised to contact your Dean or other appropriate person as identified by your department.

## 5 RESEARCH DESIGN

A design is used to structure the research, to show how all of the major parts of the research project; the samples or groups, measures, treatments or programs, and methods of assignment, work together to try to address the central research questions.

Obtaining advice on research design is important for anyone wanting to apply for funding, as funding streams have particular requirements and it is both efficient and helpful to find out about these from experienced researchers. For specific advice on research design, researchers should contact:

- [RKEO](#) – the Research Facilitators will be able to offer School/Faculty specific advice
- Experienced researchers in the Schools/Faculty, to include Deputy Deans for Research, Professors, etc.
- [BUCRU](#) – for specific advice on research involving the NHS

The process of research design will examine all the potential risks, ethical issues, peer review requirements and hurdles you will need to overcome to get the research project from the planning stage to the implementation stage and beyond. Good project management is the key to success and the process should map out deadlines for completion of key stages.

When designing research projects, researchers should ensure that:

- The proposed research addresses pertinent question(s) and is designed either to add to existing knowledge about the subject in question or to develop methods for research into it;
- The design of the study is appropriate for the question(s) being asked and addresses the most important potential sources of bias;
- The design and conduct of the study, including how data will be gathered, analysed and managed, are set out in detail in a pre-specified research plan or protocol;
- All necessary skills and experience will be available to carry out the proposed research, in the proposed research team or through collaboration with specialists in relevant fields;
- Sufficient resources will be available to carry out the proposed research and that these resources will meet the relevant standards;
- Any issues relating to the above are resolved as far as possible prior to the start of the research.

It may also be appropriate to undertake a risk assessment of the planned study to determine the potential for risks to the University, the research or the health, safety or well-being of researcher or research participants.

Where the design has been approved by ethics, regulatory or peer review, researchers should ensure that any subsequent alterations to the design are subject to appropriate review to determine that they will not compromise the integrity of the research or any terms of consent previously given.



## 6 COLLABORATIVE WORKING & INTERNATIONAL RESEARCH

### Collaborative Working

Researchers should be aware of the standards and procedures for the conduct of research followed by any organisations involved in collaborative research that they are undertaking. They should also be aware of any contractual requirements involving partner organisations, seeking guidance and assistance where necessary and reporting any concerns or irregularities to the appropriate person(s) as soon as they become aware of them.

Researchers should try to anticipate any issues that might arise as a result of working collaboratively and agree jointly in advance how they might be addressed, communicating any decisions to all members of the research team.

In particular, researchers are required to contact RKEO so that an appropriate agreement can be put in place which clearly outlines the specific roles of the researchers involved in the project and on issues relating to intellectual property, publication, data management and the attribution of authorship, recognising that, subject to legal and ethical requirements, roles and contributions may change during the time span of the research.

### Research Conducted Outside the UK

When conducting, or collaborating in, research in other countries, organisations and researchers based in the UK should comply with the legal and ethical requirements existing in the UK and in the countries where the research is conducted. Similarly, organisations and researchers based abroad who participate in UK-hosted research projects should comply with the legal and ethical requirements existing in the UK as well as those of their own country.

Researchers should bear in mind the differences between civil, legal and often the financial positions of national and foreign researchers and participants and must be aware that there may be a number of national laws which can affect the conduct of their research in other countries.

In particular where low and middle income countries are involved specific consideration must be given to the following:

- Whether the research could be carried out reasonably well within a high income country;
- That the characteristics and culture of the country do not diminish the researcher's respect for the rights and interests of participants involved;
- The reason for undertaking the study should usually be its relevance to the needs of the community in which it is carried out;
- Ethics review must, where possible take place in the UK and in the host country.

For further guidance in this area please see the [Wellcome Trust Position Statement on research involving people living in low and middle income countries](#).

## 7 CONFLICTS OF INTEREST

[Bournemouth University's Conflicts of Interest Policy and Procedures](#) document aims to protect the University and members of staff from any appearance of impropriety and to enable the University and members of staff to comply with their legal obligations.

All those undertaking research must be able to recognise situations and activities that might give rise to a real or potential conflict of interest, or could be perceived by others as a real or potential conflict of interest. Any such conflict, which could affect, or be perceived to affect, an individual's judgement in any aspect of undertaking his/her research, must be disclosed to the University as soon as it is recognised and necessary steps taken to ensure it is recorded, and either avoided or appropriately managed.

A conflict of interest can inappropriately affect research and risk compromising the validity or integrity of the research, the reputation of the researcher, their research group(s), department, school, institute, research centre and the University. They must be identified, disclosed to the University and addressed to avoid poor research practice or potential misconduct.

Researchers should consider the potential for real or perceived conflicts of interest to arise related to their research not only prior to the start of the research activity but also during the lifetime of the project. Any personal or outside interests or activities relating to a potential funder or sponsor of research (e.g. directorship, shareholding, consultancy, etc.) must be disclosed to the University prior to the application for a research grant or negotiation of a research contract with that funder or sponsor. In accordance with the Conflicts of Interest Policy and Procedures, a researcher's personal or outside interests and activities includes the interests and activities of his or her partner, children and relatives. Some funding bodies and ethics committees may require direct notification of certain interests. Researchers must ensure that they are aware of any such conditions and adhere to the specified requirements.

Disclosures to the University of any actual or potential conflict of interest should be made in accordance with the Conflicts of Interest Policy and Procedure using the on-line form available on the Human Resources Intranet. If a member of staff cannot access the on-line form they should request a paper form from Human Resources. Any paper forms should be returned to the Chief Operating Officer.

The following activities undertaken by employees or third parties associated with the University could create an actual or perceived conflict of interest (the list is not exhaustive and researchers should consider their own circumstances):

- Use of the University's research or administrative facilities to pursue personal, business, commercial, or consulting activities;
- Any attempt to restrict rights governing the timing and content of publications, except in circumstances properly approved by the University to protect privacy, commercially sensitive proprietary information, and patentable inventions;
- Involvement in externally funded activity which might infringe the right of a student engaged in the activity to complete the degree for which he or she is registered, and/or to publish freely his or her findings (except in the circumstances referred to in sub-paragraph immediately above);
- A financial interest held by an individual (or by his or her relative(s)) in an external enterprise engaged in activities closely related to that individual's line of research in the University. Examples of such interests are paid consultancies, paid service on a

board of directors or advisory board, or equity holdings in or royalty income from the enterprise. The existence of such an interest does not necessarily imply conflict, but is likely to give an appearance of conflict, and should be declared;

- A personal involvement in any company or commercial enterprise which is in a contractual relationship with the University, or which is in the process of negotiating a contract with the University, where the employee or his or her relative has been concerned or connected with placing or negotiating the contract in question or with the research or other activity which the contract might cover;
- Application by relatives or friends for employment in the University or in a related company, where an individual is in a position to influence the appointing process;
- Receipt of gifts or hospitality by an individual (or by his or her relative(s)) from a company or organisation offering goods or services to the University.

Once a disclosure has been made to the University, it will be evaluated in accordance with the Conflicts of Interest Policy and Procedures and a decision made as to whether:

- The disclosure of the conflict is enough. If additional measures are required to protect the University and the member of staff; or
- Additional measures may be required to protect the University and the member of staff involved.

If it is decided that additional measures are required, the member of staff involved will be informed of such measures. That member of staff is responsible for carrying out those measures.

### **Funding from External Sources**

The University supports and encourages its staff to seek external funding for their research activities and accepts funding for research from a wide and diverse portfolio of legal sources, in accordance with University financial regulations and ethical scrutiny framework. All applications and proposals made, and contracts and awards accepted relating to external research funding, are done so on behalf of and in the name of the University.

However, it is recognised that there may be circumstances where ethical issues can arise when considering whether or not to apply for or accept funding for research from particular sources. It is important that the interests of all staff and the interests and the reputation of the University as a whole are safeguarded when seeking and accepting external funding. The Dean or delegated person considers this when reviewing the proposal under the Activity Proposal Form (APF).

While it is outside the scope of this guidance to provide an exhaustive list of specific examples of what may or may not be acceptable sources of funding, circumstances where the following may occur would cause concern and further advice should be sought from the Research Governance Adviser in the first instance for further investigation and recommendation; depending on the circumstances, this may then be referred to the Head of Research and Knowledge Exchange and/or the PVC (Research & Innovation).

- Where a third party is involved and the original source of the funding is unknown or cannot be identified;
- Where a funding organisation wishes to place inappropriate restrictions on publication and exploitation of research which may lead to substantial ethical difficulties;

- Where a funding organisation is attempting to exert pressure to suppress or alter the results of the research which do not further, or may damage, its interests, commercial or otherwise;
- Where a member of staff may have an interest in a funding organisation;
- Where accepting funds from one source may compromise the ability of the University to apply for or accept funds from another source;
- Where the practices of a potential sponsor or their motives in commissioning the research may conflict with the mission, aims and objectives of the University;
- Where the ethical and political implications of undertaking research or accepting research funding from a particular source could result in negative publicity and/or may seriously damage the reputation of the University;
- Where the conduct of research may harm or place at undue risk members of the public, participants or staff.

Further advice and guidance on any ethical considerations relating to the application for or acceptance of external funding for research activities should be referred to the Research Governance Adviser in the first instance for further investigation and recommendation; depending on the circumstances, this may then be referred to the Head of Research and Knowledge Exchange and/or the PVC (Research & Innovation).

## 8 RESEARCH ETHICS

Bournemouth University recognises the importance of maintaining public confidence in the ethical quality of research conducted by staff and students of the University. The purpose of ethical approval within BU is threefold:

- This reflects BU's commitment to good ethical practice, as a principle in itself and as a means of maintaining public confidence in the work undertaken by staff and students of the University;
- The provisions for ethical approval assists researchers and supervisors undertaking research to identify appropriate issues and address these in the development of research proposals;
- The approval process itself acts as a safeguard to researchers and supervisors who can be confident of the ethical propriety of their project once it has been approved.

The Bournemouth University [Research Ethics Code of Practice](#) (RECP) is designed to provide guidance about conducting ethical research and to provide details of the University process for ensuring appropriate consideration, approval and documentation by staff and students.

The aims of the RECP are:

- To ensure that all staff and students undertaking research at BU are made aware of the University's policies and procedures regarding research ethics;
- To ensure that all staff and students undertaking research at BU have a common understanding of their respective roles and responsibilities;
- To promote policies and procedures which protect the University's reputation as a research institute.

All researchers and research supervisors must read the RECP prior to commencement of research. If further clarification or guidance is needed, members of the Research Ethics Committee Panels (henceforth referred to as Ethics Panels) should be consulted. The list of members of the Ethics Panels is available on the [Research Ethics](#) web page.

BU requires that all research receives ethical approval prior to the commencement of research. This includes internal ethical approval as well as external approval where necessary (i.e. external approval from the NHS National Research Ethics Service (NRES), Social Care Research Ethics Committee).

Failure to conduct research in accordance with the RECP may result in the loss of funding support, withdrawal or failure of degree awards, personal disciplinary or legal action taken against the researcher, supervisors or the University.

## 9 HEALTH & SAFETY

Health and safety legislation applies just as much to research work as it does to any other activity carried out within the University. Bournemouth University recognises its duties towards employees and others associated with research activities carried out at the University, or under the control of University personnel.

It is the University's policy to comply with the various regulations that apply to research activities by ensuring that supervisors, researchers, line managers and appraisers are aware of responsibilities that have been delegated to them, and by providing access to an appropriate level of support.

All research undertaken must fulfil the requirements of health and safety legislation and good practice. Researchers will face a range of potential risks to their safety when conducting certain types of research, for example, social research in a conflict zone. Appropriate and thorough risk assessment must be undertaken when research is to be conducted in potentially hazardous conditions, involves potentially harmful material (whether harmful physically or psychologically) or might cause harm to the environment. Such issues need to be considered in the design and conduct of research and appropriate steps put in place and procedures adopted to remove, reduce or manage the risks effectively.

Further information can be found in the University's [Health & Safety in Research Work](#) policy, which outlines the responsibilities of the University and Schools, supervisors/ line managers and researchers in regards to health and safety. Additionally, please consult the University's [Health, Safety & Wellbeing](#) section on the Intranet. This contains useful information on all aspects of Health & Safety, including all BU's policies and procedures. This includes the [Health & Safety Policy Statement](#), [Organisational Section](#) and [Arrangements Section](#), which set out who is responsible for specific actions within BU as well as containing specific details of what BU does in practice to achieve the aims set out in the Health & Safety Policy Statement.

### **Protection of Researcher and Research Team**

Some researchers will face a range of potential risks to their safety and the safety of their research team when conducting certain types of research; for example, a researcher may be required to enter potentially dangerous environments to question certain participants. Such issues need to be considered in the design and conduct of research and procedures must be adopted to minimise any risk to researchers. In addition, researchers must consult all appropriate Health and Safety guidelines and procedures relevant to their area of research before commencing work.

### **Fieldwork**

Fieldwork is defined as any practical work carried out by University staff or students for the purpose of teaching and/or research in places which are not under University control, but where BU is responsible for the safety of its staff and/or students and others exposed to their activities.

Fieldwork is controlled through the risk assessment process, with the activity/s being fully assessed prior to taking place to ensure that any residual risks are adequately controlled by the implementation of suitable and sufficient control measures, safe systems of work etc.

Although in no means exhaustive, some of the specific considerations as part of the Fieldwork risk assessment should include:

- Environmental Conditions
- Supervision and Training
- Lone Working
- Transportation (Land, Air and Water)
- Work Equipment
- Protective Gear and Clothing
- Dangerous and Hazardous Substances
- Excavations and Confined Spaces
- Security and Personal Protection
- Catering, food and drink provision
- Breaks and Leisure Time
- Behaviour
- Health Issues, Accidents, First Aid and Emergency Procedures
- Persons with Disabilities, health conditions or support needs
- Health Screening
- Immunisation

The UCEA (Universities and Colleges Employers Association) ['Guidance on Safety in Fieldwork'](#) publication, provides in-depth specific guidance on planning, risk assessing and carrying out fieldwork activities and should be viewed in association with the BU Risk Assessment policy and procedures.

## **Risk Assessment**

Risk Assessment is a cornerstone of health and safety in the workplace and requires an organisation to consider any activity where there is inherent risk, to assess it, and then implement suitable and sufficient control measures. It's a requirement of law, and individuals as well as organisations can be prosecuted where they have failed to meet the duties placed upon them for carrying out, completing, or failing to implement suitable and sufficient control measures identified within risk assessments.

A risk assessment is simply a careful examination of what, as part of our work, could cause harm to individuals, so that we are able to weigh up whether we have taken enough precautions or should do more to prevent harm.

The Management of Health and Safety at Work Regulations 1999, places the duty on BU to make a suitable and sufficient assessment of the risks to the health and safety at work of staff, students and others who may be affected by our operations. It does not expect us to eliminate all risk, but requires us to protect people as far as is reasonably practicable.

Risk assessments **MUST** be recorded in writing and relevant persons need to be notified of the significant findings and related control measures.

The five basic steps to completing a risk assessment are:

- **Identify** the hazards (*i.e. a hazard is something that has the potential to cause harm*)

- Decide **who** might be harmed and how (*i.e. staff, students, visitors, contractors*)
- **Evaluate** the risks and **decide upon precautions** (*i.e. high, medium or low - what can be done to make the task, event, activity safer*)
- **Record** your findings and **implement** them (*share the risk assessment with those involved*)
- **Review** your risk assessment and update if necessary (*review your risk assessment based on experience, incidents, changes in processes or locations etc.*)

A complete [Risk Assessment resource](#) is available via the Health, Safety & Wellbeing pages of the Intranet. This includes policies, procedures, forms and guidance.

BU also run monthly 2 hour '[Introduction to Risk Assessment](#)' Training sessions, which give an overview of the BU risk assessment process, for all academics or any individual involved with organising and running events/activities, or anyone responsible for staff, students and others.

Below is a list of associated documents for further review:

- [Risk Assessment Policy](#)
- [General Risk Assessment Guidance](#)
- [General Risk Assessment Form](#)

### **Working Overseas**

Many staff travel overseas on a wide range of University business, and specific procedures apply when arranging and undertaking such activities to ensure that due care has been exercised in assessing and minimising the risk attached to such activities.

All staff travelling overseas on University business must complete a risk assessment (as part of the travel arrangement process), which must be submitted to the appropriate Line Management alongside the Overseas Travel Approval Form.

If researchers have any safety concerns about the country or region they are planning to visit, the researcher should consult the UK Government Foreign Office website. The site provides up to date information on areas of political unrest or terrorism.

The [Working Overseas](#) resource section of the Health, Safety & Wellbeing Intranet pages, provides lots of useful information including policies, procedures and check lists.

The UCEA (Universities and Colleges Employers Association) '[Health and Safety When Working Overseas](#)' publication, provides in-depth specific guidance on planning, risk assessing and working overseas and should be viewed in association with the BU Risk Assessment policy and procedures.



## 10 RESEARCH DATA MANAGEMENT

### Research Data Management Principles

The following guiding principles, which are aligned with the agreed RCUK principles on sharing of research data, should inform all decisions relating to the management of research data that has arisen as a result of public funding:

- Research data is a public good produced in the public interest and should be made freely and openly available with as few restrictions as possible in a timely and responsible manner;
- It is recognised that there are legal, ethical and commercial constraints on release of research data. To ensure that the research process (including the collaborative research process) is not damaged by inappropriate release of data, research organisation policies and practices should ensure that these constraints are considered at all stages in the research process;
- Sharing research data is an important contributor to the impact of publicly funded research. To recognise the intellectual contributions of researchers who generate, preserve and share key research datasets, all users of research data should acknowledge the sources of their data and abide by the terms and conditions under which they are accessed;
- Researchers should be entitled to a limited period of privileged access to the data they collect to allow them to work on and publish their results. The length of this period will depend on the scientific discipline and the nature of the research;
- Institutional and project specific data management policies and plans should be in accordance with relevant standards and community best practice and should exist for all data. Data with acknowledged long term value should be preserved and remain accessible and usable for future research;
- Sufficient metadata should be recorded and made openly available to enable other researchers to understand the potential for further research and re-use of the data. Published results should always include information on how to access the supporting data;
- It is appropriate to use public funds to support the preservation and management of publicly-funded research data. To maximise the scientific benefit which can be gained from limited budgets, the mechanisms for managing and providing access to research data should be both efficient and cost-effective in the use of such funds.

### Research Data Management Policy

As a leading research institution Bournemouth University places high value on the research carried out under its aegis, whether this is produced alone or in collaboration with others.

The University recognises that the different types of output resulting from research are key assets and should be managed in a way that brings most benefit to the individual researcher and the University. Research data in its various forms is one such output.

There are a number of obligations on both individual researchers and the University regarding research data, for example legal requirements such as the Data Protection and Freedom of Information Acts, the need for confidentiality for ethical or commercial reasons, and the view increasingly adopted by funders that the outputs of publicly-funded research should be openly accessible wherever possible.

There is also a need for research data to be accessible for an appropriate period of time in a form that enables validation of research findings.

It is therefore necessary that the University is aware of research data produced or reused by Bournemouth University researchers, and that this data is appropriately managed.

The purpose of this Policy is to ensure that data produced or otherwise used through the University's research activities is registered, stored, made accessible for use and reuse as appropriate, managed/curated over time and/or disposed of, according to legal, ethical, funder requirements and good practice.

This policy, and services developed in association with it, will support both the University itself, and Bournemouth University researchers who are responsible for creating and using data, in fulfilling their various accountabilities and obligations regarding this data and in gaining best value from it.

#### Policy Statements:

1. Bournemouth University is committed to ensuring that the research conducted by its staff and students maintains the highest possible standards of integrity.
2. Bournemouth University research data will be managed in accordance with the University's policies, guidelines and standards, and funder, legislative and ethical requirements.
3. Exclusive rights to host, reuse or publish research data should not be given to other bodies without retaining the rights to make the data openly available for reuse, unless this is a condition of funding.
4. Those responsible for research staff and students should ensure that researchers in their areas are aware of the University's policy regarding research data and its associated guidelines and procedures.
5. Principal Investigators or those in equivalent roles have lead responsibility for ensuring that research data management requirements are observed during a research project or programme.
6. All researchers are expected to familiarise themselves with, and act in accordance with, this and other Bournemouth University policies relating to research practice.
7. When planning research activity where research data may be created or reused, researchers must prepare and maintain data management plans that at a minimum meet Bournemouth University standards, or more rigorous standards as appropriate where required by external bodies.
8. All Bournemouth University research data must be registered with the University whether it is hosted by the University or elsewhere.
9. Data must be retained intact in an appropriate format and storage facility, normally for a period of at least 5 years from the date of any publication which is based upon it. Where specific regulations with regard to data retention apply, e.g., from funders, these regulations should prevail, particularly where the required retention period is longer than the University requires.
10. Data deemed to be of interest to future research, including data that substantiate research findings, will normally be offered for deposit in an appropriate external data service or repository and/or a Bournemouth University repository.
11. Data should be made available for access and re-use under the appropriate conditions.
12. Where research data is not retained it should be disposed of according to University guidelines.

13. The University will provide means and services enabling registration, deposit, storage, retention of and access to research data.
14. The University will provide advice, training and support regarding research data management.
15. The University will work with relevant discipline-based data repositories in order to promote relevant archiving standards, data accessibility and long-term curation.

In adopting this Policy the University intends that an evolutionary approach will be taken to implementing it over a number of years.

The scope of the Research Data Management Policy extends only to research-related data. Any other data held by the University whether on a University system or in manual form is covered by the Data Quality Policy.

## 11 PUBLICATION, AUTHORSHIP & OPEN ACCESS

Authors must comply with the [University's Publication Policy](#) ensuring their outputs are managed in a way that ensures they provide maximum value both to themselves, the academic community they represent and collectively to the institution. In particular authors should:

- Accurately record outputs as being produced by Bournemouth University staff maximising the impact of University publications in bibliometric analyses.
- Ensure all peer-reviewed research outputs are made open access maximising their impact by making them as widely available as possible.

Researchers should also comply with the University's guidelines on authorship of publications, which is clearly outlined in the Graduate School's [Guidelines on Authorship of Publications for PGRs and Supervisors](#). While this document is primarily aimed at the publication of research outputs from PGR research projects, the guidance is applicable to all researchers at BU.

Any person, including research students, research assistants, research officers, technical officers and other support staff, who has participated in a substantial way in conceiving, executing or interpreting the relevant research must be given the opportunity to be included as an author of a publication derived from that research.

In addition to meeting the above requirements regarding publication, an author must ensure that the work of any relevant person is recognised and appropriately acknowledged in all publications derived from research to which they have made a contribution.

Any person who has not participated in a substantial way in conceiving, executing or interpreting the relevant research must not be included as an author of the publication derived from that research.

A publication which is substantially similar to other publications derived from the same research must contain appropriate reference to the other publications.

A researcher who submits substantially similar work to more than one publisher should disclose that fact to the publishers at the time of submission.

Publication and dissemination of work electronically or on the web should be treated with the same degree of integrity as every other form of publication.

### Further Information

[Committee on Publication Ethics \(COPE\) Code of Conduct](#) 

[Committee on Publication Ethics \(COPE\)-how to handle authorship disputes: a guide for new researchers \(2003\)](#) 

[UKRIO Information Note: Guidance for researchers on retractions in academic journals \(2010\)](#)

## 12 PUBLIC ENGAGEMENT

Engaging the public with research can take many forms, and the below describes some of the most common. For more information, please refer to the [National Co-ordinating Centre for Public Engagement](#).

- Communicating research activity and outcomes. The goal is to find effective ways of informing the public about your research and it to increase its accessibility. This can involve a range of methods to inspire and involve different audiences.
- Listening to public views and concerns. The goal is to make sure that you get better involved about the public's view and concerns about your research, and more sensitive to the social and ethical issues that relate to it. It's also an opportunity to hear fresh perspectives and insights with can fundamentally challenge and help to develop your own thinking and lines of enquiry.
- Involving the public as researchers. The goal is to encourage public participation in your research by involving people as researchers for your project.
- Developing collaborative research and co-inquiry projects. The goal is to develop genuine collaboration, where the research questions are developed and explored in partnership with the public.

The [Concordat for Engaging the Public with Research](#) (signatories include RCUK, HEFCE, British Academy, Royal Society, etc.) clearly emphasises the importance of public engagement to help maximise the social and economic impact of UK research. The Concordat provides guidance for those research organisations, researcher managers and researchers who receive our funding to foster public engagement and meet these expectations and responsibilities through four principles:

1. UK research organisations have a strategic commitment to public engagement.
2. Researchers are recognised and valued for their involvement with public engagement activities.
3. Researchers are enabled to participate in public engagement activities through appropriate training, support and opportunities.
4. The signatories and supporters of this Concordat will undertake regular reviews of their and the wider research sector's progress in fostering public engagement across the UK.

BU proactively supports staff and students to develop public engagement activities and is a [signatory](#) of the National Co-ordinating Centre for Public Engagement's (NCCPE) Manifesto for public engagement. Opportunities for public engagement at Bournemouth University include the [Festival of Learning](#), Café Scientifique series and a range of other initiatives supported by the Research and Knowledge Exchange Office.

Projects that fall under the auspice of Public Engagement may require ethical approval. For the purposes of best practice, or where there is any doubt as to whether ethical approval should be sought, it is recommended that BU's standard ethical procedures are followed. This is especially pertinent for projects where any data of any type is collected, which researchers may wish to re-use or represent in another format at a later date. Consult with a member of an Ethics Panel or your supervisor prior to commencement of the project to determine if ethical approval is required. Further guidance can be found on the National Co-ordinating Centre for Public Engagement website regarding [ethics in community-based participatory research](#).

## 13 RESEARCH MISCONDUCT

Bournemouth University is committed to maintaining the integrity and probity of academic research defined here in the broadest sense of this definition and to include all knowledge exchange activity (to include enterprise, consultancy, business engagement, etc.). To this end the University regards it as a fundamental principle that the conduct of research and the dissemination of the results of research must be truthful and fair. All research must be undertaken to the highest ethical standards. The University has, therefore, adopted the [6M – Misconduct in Academic Research: Policy and Procedure](#) document for handling any allegations of and/or concerns about misconduct in research by staff or students.

All members of the University are under a general obligation to preserve and protect the integrity and probity of research; in particular, if they have good reason to suspect any misconduct in research, they should report their suspicions in accordance with the terms of this Policy and Procedure. Members of the University and any other person making an allegation should bear in mind that any allegation is serious and could have major implications for the reputation of a student or a member of staff.

The University is committed to ensuring that all allegations of misconduct in academic research are investigated as fully, fairly and expeditiously as possible. In keeping with its Public Interest Disclosure Policy, the University also lays stress on principles of confidentiality, fairness and no-detriment. In particular the University seeks to ensure that anybody making an allegation of misconduct in research, in good faith, suffers no detriment as a result of having made the allegation.

## 14 UKRIO RESEARCHER CHECKLIST

### Recommended checklist for researchers

The Checklist lists the key points of good practice in research for a research project and is applicable to all subject areas. More detailed guidance can be found in section 3. A PDF version is available from [www.ukrio.org](http://www.ukrio.org)

**Before conducting your research, and bearing in mind that, subject to legal and ethical requirements, roles and contributions may change during the time span of the research:**

- 1 Does the 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?
- 2 Is your research design appropriate for the question(s) being asked?
- 3 Will you have access to all necessary skills and resources to conduct the research?
- 4 Have you conducted a risk assessment to determine:
  - a whether there are any ethical issues and whether ethics review is required;
  - b the potential for risks to the organisation, the research, or the health, safety and well-being of researchers and research participants; and
  - c what legal requirements govern the research?
- 5 Will your research comply with all legal and ethical requirements and other applicable guidelines, including those from other organisations and/or countries if relevant?
- 6 Will your research comply with all requirements of legislation and good practice relating to health and safety?
- 7 Has your research undergone any necessary ethics review (see 4(a) above), especially if it involves animals, human participants, human material or personal data?
- 8 Will your research comply with any monitoring and audit requirements?
- 9 Are you in compliance with any contracts and financial guidelines relating to the project?
- 10 Have you reached an agreement relating to intellectual property, publication and authorship?
- 11 Have you reached an agreement relating to collaborative working, if applicable?
- 12 Have you agreed the roles of researchers and responsibilities for management and supervision?
- 13 Have all conflicts of interest relating to your research been identified, declared and addressed?
- 14 Are you aware of the guidance from all applicable organisations on misconduct in research?

**When conducting your research:**

- 1 Are you following the agreed research design for the project?
- 2 Have any changes to the agreed research design been reviewed and approved if applicable?
- 3 Are you following best practice for the collection, storage and management of data?
- 4 Are agreed roles and responsibilities for management and supervision being fulfilled?
- 5 Is your research complying with any monitoring and audit requirements?

**When finishing your research:**

- 1 Will your research and its findings be reported accurately, honestly and within a reasonable time frame?
- 2 Will all contributions to the research be acknowledged?
- 3 Are agreements relating to intellectual property, publication and authorship being complied with?
- 4 Will research data be retained in a secure and accessible form and for the required duration?
- 5 Will your research comply with all legal, ethical and contractual requirements?