

Code of Conduct for Research

From: University Senate

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1. FOREWORD FROM THE VICE-PRESIDENT FOR RESEARCH AND ENTERPRISE

It is a pleasure to provide a foreword to the University’s Code of Conduct for Research. The mission of the University of Southampton is to ‘change the world for the better’ and one of the key mechanisms by which we do this is through generating new knowledge via our research and ensuring that it has a positive impact through its dissemination and via our enterprise activities. We will only achieve this lofty ambition if we conduct research of the highest quality, which conforms to commensurate standards for its integrity and has been carried out according to rigorous ethical considerations. If the outputs of our research cannot be relied upon, or have caused harm in the process of obtaining them, this will invalidate the research, call into question any associated work, and may cause irreparable reputational damage to the individuals and institutions involved.

This Code of Conduct provides clear guidance across a wide range of topics regarding research integrity and associated issues. It is written in a straightforward way, and provides links to other resources for cases when additional background is required. The principles apply broadly across the entire range of research conducted at the University. For many of us the content of the Code and the principles upon which it is based are likely to appear to be obvious and amount to a statement of ‘common sense’. However, it is important never to take this shared understanding for granted, and to make positive, conscious decisions regarding how to conduct research so as to ensure its quality, rather than to take an easier path, or to respond unconsciously to external pressures of time, budget or simply a desire to produce certain results.

I hope all those conducting research at the University of Southampton will find this Code useful. I thoroughly commend it, and thank those responsible for its creation for their hard work. I would welcome feedback and a wider discussion of the topics covered.

Professor Mark Spearing
Vice-President (Research and Enterprise)

2. INTRODUCTION

As a world-leading and research-intensive institution, the University of Southampton (‘the University’) recognises the importance of undertaking its activities responsibly and in accordance with the highest ethical standards. In its [Simply Better Strategy](#), launched in May 2016, the University identified its core principles as collegiality, quality, internationalisation and sustainability. These fundamental principles are further underpinned by the values of excellence, creativity, community and integrity which reflect University’s service to society. The University’s mission is to ‘change the world for the better’ by innovation, continuous pursuit of excellence, and striving for the highest standards of research integrity, quality and rigour. The University recognises its responsibilities to researchers and the wider community, and is strongly committed to fostering a culture and understanding of effective research governance, integrity and probity across the full spectrum of its research activities.

The University is committed to and supports the Universities UK [Concordat to Support Research Integrity](#) which sets out expectations on the University as an employer of researchers, as well as on individual researchers. To promote a culture of research integrity the University has a number of research and enterprise [policies and procedures](#), and publishes a [Research Integrity Statement](#) on an annual basis.

This Code of Conduct ('the Code') has been prepared as part of the University's research governance framework. It sets out general principles of expected research conduct and standards. The Code draws on a number of sources of guidance and good practice available to the research sector in the UK and internationally including:

- [UKRIO Code of Practice for Research: Promoting good practice and preventing misconduct \(2009\)](#)
- [RCUK Policy and Guidelines on Governance of Good Research Conduct \(April 2017\)](#)
- [ALLEA The European Code of Conduct for Research Integrity \(2017, Revised Edition\)](#)

The Code accords with the [Seven Principles of Public Life](#) established by the Nolan Committee: selflessness, integrity, objectivity, accountability, openness, honesty and leadership. All staff and students are expected to follow these ethical principles and behaviours in every aspect of their work.

This Code recognises and is not intended to detract from the guiding principles of academic freedom, which are at the centre of all activities of the University, as set out in [Section III of the Statutes of the University, Part I, Clause 2\(1\) and 2\(2\)](#). The University Statutes state that all University staff '*have freedom within the law to question and test received wisdom, and to put forward new ideas and controversial or unpopular opinions, with due regard for the need to respect others and promote the best interests of the University and academic learning, without placing themselves in jeopardy of losing their jobs or privileges.*' The principles of academic freedom adopted by the University reflect those set out in [Sections VI and VII of the Recommendation concerning the Status of Higher-Education Teaching Personnel](#) adopted by the General Conference of the United Nations Educational, Scientific and Cultural Organisation (UNESCO) in Paris on 11 November 1997.

The University will draw attention to this Code of Conduct as part of training and induction process for newly appointed academic and research staff.

2.1 Scope

This Code of Conduct provides guiding principles and a framework for the responsible conduct of research throughout the University, irrespective of how the research activities are funded. Any special standards of work performance and ethical conduct imposed by law, professional, regulatory or funding bodies, or by the University in relation to particular categories of research are deemed to be included in this Code.

The Code applies to all staff (including technical and professional services staff) and students, as well as visiting or emeritus researchers, associates, honorary contract holders, consultants and contractors undertaking research under the auspices of the University, using University's facilities, on the University's premises anywhere in the world, or elsewhere on behalf of the University (all referred to hereafter as 'researchers').

2.2 Breach of the Code

This Code of Conduct operates in alignment with all other related University regulations, policies and procedures. Failure to comply with the provisions of this Code will be grounds for action to be taken under the University's [Procedures for Investigating Cases of Alleged Misconduct in Research](#) (applicable to staff), or [Regulations Governing Academic Integrity](#) (applicable to all students). Any concerns about

breach of this Code should be raised by contacting researchintegrity@soton.ac.uk, or under the University's [Whistleblowing Policy](#).

3. INSTITUTIONAL RESPONSIBILITIES

The University is strongly committed to the principles of good research conduct, and to fostering a culture of research integrity to ensure that all research is conducted to the highest standards and in accordance with legal, ethical and safety requirements.

The University is responsible for:

- Developing a comprehensive research governance framework through formulation of policies and procedures, oversight mechanisms, and a thorough ethical review system.
- Providing appropriate training, development opportunities and mentoring to enable research staff to attain necessary skills for their role, and to support their future career development.
- Ensuring that appropriate direction of research and supervision of researchers is provided.
- Ensuring that robust management methods are in place to ensure awareness and application of the highest standards, as well as early identification of issues and preventative measures.
- Providing appropriate infrastructure and support for good research data management.
- Providing a full range of insurance policies which protect the University's assets and liabilities and extend to liabilities of researchers undertaking research on behalf of the University.
- Providing a clear and fair process for investigating, decision making and reporting on allegations of research misconduct.
- Providing oversight through its committees and by senior leadership on activities and progress anticipated by this Code of Conduct.
- Being open and transparent to its funders and the public about activities undertaken to support a culture of research integrity by the provision of a publically accessible annual statement and applicable policies.

4. INDIVIDUAL RESPONSIBILITIES

All staff and students engaged in research carried out under the auspices of the University of Southampton are required to maintain the highest standards of research integrity and ethical conduct.

All researchers are responsible for familiarising themselves with this Code of Conduct and adhering to its provisions, as well as all related University regulations, policies and procedures, applicable legislation and any terms and conditions, codes of practice or guidelines issued by external funding or relevant professional bodies. Researchers must ensure that they have the necessary skills and experience to carry out their duties, and undertake training where necessary to ensure that their skills and knowledge is up-to-date.

4.1 Collegiality

Collegiality has been identified as one of the core principles of the University's [Simply Better Strategy](#). The University is a diverse and interdisciplinary organisation, with a global reputation for passion and ability to work collaboratively in research and innovation, and delivering world-class education. The principle of effective and active collegiality aims to underline the University's commitment to fostering a community built on trust and respect, and working together as one team towards achieving a shared vision. Members of staff are expected to support this principle by working collaboratively towards a common purpose, and accepting and sharing equitable responsibilities. Collegiality is also reflected in ['Our Southampton Behaviours'](#) which define how staff are expected to work together to support the delivery of the University's strategy.

Where researchers disagree on questions of interpretation or judgement, it is important that such differences are kept within the bounds of civilised academic discourse. Personal abuse, and in particular malicious attempts to undermine the academic reputation of research groups and/or individuals at the University or elsewhere, is not acceptable and can constitute misconduct in its own right.

4.2 Equality and Diversity

The University highly values diversity and equality of opportunities, and is committed to creating and sustaining a positive, fair and mutually supportive working and learning environment for all staff and students. The University is a founding signatory of the [Athena SWAN Charter](#) and holds a Silver Athena SWAN Award. Researchers are expected to share this commitment and abide by the [University's policies and guidance](#) on equality and diversity in every aspect of their work.

4.3 Leadership and Supervision

Those responsible for the academic leadership of the University, including members of the Executive Board and Deans have the responsibility to create, promote and maintain a sound research environment which encourages all research to be conducted to the highest standards of research integrity, governance and ethical practice. These individuals should seek to foster a culture of honesty, mutual co-operation and professionalism, where all researchers are encouraged to develop their skills and openly exchange their ideas, and where inappropriate conduct is identified and properly addressed.

The Vice-President for Research and Enterprise has the prime responsibility for setting the strategy in relation to research and for fostering a culture of research integrity across the University.

Deans, Associate Deans and Heads of Academic Units should take responsibility for ensuring that appropriate strategic direction of research and supervision is provided, including advice on matters of research integrity and conduct. This responsibility can be delegated to appropriate heads of research groups or other senior staff, provided that it is made clear within the research group what is expected of each of its members.

Heads of Research Groups:

- Are responsible for the overall research performance of the group, including the career development of its members, and fostering a culture of openness and research integrity.

- Should be aware of their responsibilities and ensure that they have the necessary training, capacity and resources to carry out their role, and request support if required.
- Are responsible for ensuring compliance with this Code, all legal and ethical standards and requirements, and obtaining appropriate approvals from all relevant bodies before commencing a research study.
- Are accountable for the safety of others under their supervision and ensuring that risk assessments are completed prior to commencing research.
- Are responsible for ensuring the safety, dignity, rights and welfare of all research participants, and for mitigating against or minimising risks in their research.
- Should ensure that each research team member is qualified and competent to fulfil their role, and that researchers have undertaken relevant security checks (if applicable), and have adequate support, supervision and training.
- Are accountable for ensuring that appropriate arrangements are in place to manage the research financial and other resources, and any arising Intellectual Property (IP).
- Are responsible for supervising and checking the work of others in their group, and should undertake a regular review of progress.
- Should ensure that where there are collaborations with external organisations, appropriate agreements are entered into.
- Should ensure that where allegations of research misconduct or academic integrity are raised, they are passed to the Research Integrity and Governance (RIG) Team for an investigation in line with the University's procedures (as per point 2.2 above).

4.4 Training and Mentorship

It is the University's policy that all researchers receive appropriate training and development opportunities, as well as adequate supervision and assistance, to enable them to conduct research to the highest standards. The University strongly encourages career development and progression, and has retained the European Commission '[HR Excellence in Research Award](#)' (first awarded in 2012) for its ongoing support and work in implementing the [Concordat to Support the Career Development of Researchers](#). The University also provides a range of training and development opportunities for researchers through its [Doctoral College](#).

Deans, Associate Deans, Heads of Academic Units and Heads of Research Groups, together with Principal and/or Chief Investigators and other members of staff with line management or supervision responsibilities for researchers, should actively ensure that their research staff have access to appropriate training specific to their discipline and research practice. This should include training in the responsible design, conduct and dissemination of research. All researchers should receive high quality supervision and guidance in accordance with this Code of Conduct, and all other relevant standards, policies and procedures. Dedicated mentoring should be offered on any particular area where researchers require help and assistance.

4.5 Conflicts of Interest

All researchers should be aware of and adhere to the University's [Conflicts of Interest Policy](#), as well as associated guidance and any external requirements relating to conflicts of interest disclosures published by funding or governing bodies.

It is the responsibility of individual researchers to recognise situations and activities that might give rise to conflicts of interest (whether actual or potential, personal, financial, academic, institutional or otherwise), or the perception of conflicts, and to ensure that such conflicts are disclosed to the appropriate person, and either appropriately managed or avoided. All university staff at Level 4 and above are required to complete and submit an Annual Return to the Register of Interest in October of each year.

Researchers should be also aware that some funders may have additional requirements for disclosing financial interests (for instance projects funded by National Institutes of Health). These requirements are broader than the University's Conflicts of Interest Policy and all individuals involved in a project will be required to complete an additional declaration form before the project can commence.

5. RESPONSIBLE RESEARCH PRACTICE

5.1 Research Principles

All researchers are expected to consider the wider consequences of their work and to critically engage with the practical, ethical and intellectual challenges that are intrinsic to the conduct of high quality research. It is the responsibility of all engaged in research to observe and promote the following principles which set out the standards and values relevant to research.

EXCELLENCE

Researchers should strive for excellence when conducting research, aim to produce and disseminate work of the highest quality and ethical standards, and to promote and support responsible research practice throughout the whole research lifecycle.

OPENNESS

Researchers must be honest and open at all stages of the research process, from proposing research and applying for funding to publishing results and acknowledging the contributions of others. They are expected to be open about their work and willing to discuss results and share data with academic colleagues by ensuring that research designs, methodologies and findings are open to scrutiny, debate, further analysis and re-use (subject to appropriate confidentiality agreements, protection of research participants and Intellectual Property considerations).

INTEGRITY

Researchers should demonstrate integrity and professionalism by maintaining knowledge and awareness, and complying with the University policies, and all relevant legal, regulatory and ethical requirements, external codes of practice, and other appropriate guidelines relevant to their field of study, both in the UK and in countries where research is conducted or data is collected. Researchers who are members of a regulated profession must follow the rules and regulations of their membership body. They should recognise and declare any potential or perceived conflicts of interests relevant to their research, and where necessary take adequate steps to manage, resolve, or avoid them.

ACCOUNTABILITY

Researchers should be aware of their duties towards society and stakeholders, including the public who are the ultimate beneficiaries of research. All researchers must accept full responsibility for their own research conduct and any activities of those who work under their direction or supervision.

Researchers 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 includes

ensuring that a research project is undertaken as described and in accordance with proposal or protocol, the finance is used solely for the purpose of research, there are accurate records, and that conditions in regard to publication, research data management and Intellectual Property rights are fully complied with. Any instances of research misconduct or academic integrity should be reported to the RIG Team for an investigation in line with the University's procedures.

RIGOUR

Researchers should conduct research according to the highest standards of rigour in line with the prevailing disciplinary norms and standards.

CARE and RESPECT

All researchers have a duty of care for all participants in, and subjects of research, including humans, animals, the environment and cultural objects. Before undertaking the research any concerns regarding the dignity, rights, safety and well-being of those involved in research should be addressed. Those engaged with research are responsible for the stewardship of research and scholarship for future generations and contributing to their professional community.

5.2 Research Funding

Researchers have a responsibility to familiarise themselves with the terms and conditions of any funding agreement (grant or contract and whether from public, government funding bodies, industry or other), to ensure that they fully understand the implications of those terms, and that they agree to, and accept these terms as the basis for their research. Once the funding has been accepted, researchers must ensure that they observe and fully comply with the terms and conditions of any grant or contract.

Where research is funded by more than one funding body or contractor, researchers have a responsibility to read the terms and conditions of the different funders to ensure that they do not conflict, and that they understand and agree to those terms. Where there is more than one funder for any project, researchers need to ensure the rules against double recovery of funding for research are complied with and in most instances it would be expected that relevant funders are made aware of and consent to any other funding received for the same piece of research.

Researchers must adhere to all Financial Regulations and Procedures including those related to purchasing or procurement of materials, equipment or other resources for research, the hiring of research project staff and expenses. Researchers must use and manage financial resources responsibly and sustainably and in accordance with the terms and conditions of the funding body and the University, and co-operate with any financial monitoring and audit. Any concerns, irregularities or events which can result in unforeseen financial consequences, should be reported to the Faculty Finance team as soon as they become apparent.

Researchers seeking guidance on any funding agreement should contact Research and Innovation Services (RIS) on riscontracts@soton.ac.uk or the Faculty Finance team for financial or eligibility of cost queries.

5.3 Research Design

Suitable research design should be used to structure the research, and to outline how the key parts of the research project will work together in addressing the fundamental research questions and objectives. The process of research design should examine all the potential risks and ethical issues, how data will be collected, what techniques and instruments will be used and how, and how records will be analysed.

Sound research design and management is crucial to successful research implementation therefore researchers are encouraged to seek appropriate advice from more senior and experienced colleagues.

When designing a research project, researchers should ensure that the following requirements are observed:

- The proposed research addresses pertinent question(s) and is designed either to add to existing knowledge of the subject in question, or to develop methods for research into it.
- The research design is appropriate for the question(s) being asked and addresses the most important sources of bias.
- A clear and detailed research plan or protocol is produced setting out the design and conduct of the study, including how records will be gathered, analysed and managed, and how and in what form relevant data will eventually be made available to others. Consideration should be given to how data may be reused in the future, including sharing it with collaborators, other researchers or through open access.
- All necessary skills and experience will be available to conduct the proposed research within the research team, or through collaboration with specialists in relevant fields.
- Sufficient resources meeting the relevant standards will be available to undertake the proposed research.
- Progress will be monitored regularly and if necessary there should be an opportunity to refine the research design and/or methodology where justifiable. Any modifications should be clearly documented and recorded.
- Where the research design has been approved by an ethical review or a regulatory body, researchers should ensure that any subsequent alterations to the design are subject to appropriate review and scrutiny.

Risk Assessment

A risk assessment of the planned study should be undertaken before the research commences in order to:

- Identify any potential risks to the University or the health, safety or well-being of researchers or research participants.
- Identify any potential risks to animals, the environment, cultural heritage and/or society.
- Determine whether the proposed research might produce results that could be misused for illegal or harmful purposes.

Help and advice on risk assessments can be sought from the University's [Health and Safety Officers](#) or Research Integrity and Governance (RIG) Team on rgoinfo@soton.ac.uk. All researchers, and especially those responsible for the overall conduct of research projects and supervision of researchers involved, should take sufficient steps to eliminate or minimise any identified risks.

5.4 Peer Review

The University encourages peer review as an important part of good practice in the assessment of applications for research grants, review of research proposals, and the publication and dissemination of research findings.

5.5 Collaborative Working and International Research

The University recognises that research is increasingly globalised and collaborative by involving individuals and institutions within and beyond the UK.

Researchers should be mindful of the customary practices and procedures for the conduct of research adopted by organisations involved in collaborative working, and work to ensure compliance with common research standards and procedures. All parties should be clear about their respective roles and responsibilities, and agree uniform collaboration principles. In particular consensus should be reached on confidentiality, the provenance of intellectual ideas, and ownership and publication of research outputs, recognising that subject to legal and ethical requirements, roles and contributions may change during the lifespan of the research.

Researchers are advised to contact RIS on riscontracts@soton.ac.uk as early as possible to ensure that an appropriate agreement can be put in place.

International Research

When conducting or collaborating in research internationally, particular attention should be paid to any additional legal and ethical requirements. Research projects based outside of the UK must comply with the UK's legal and University ethical requirements, as well as the laws and regulations of the country where the study is taking place or data is collected. Similarly, researchers and organisations from abroad involved in research undertaken under the auspices of the University of Southampton, must comply with both the UK's ethical and legal standards, and those of their own country.

Additional local insurance may need to be purchased where research is undertaken in countries that do not recognise UK insurance and liability certificates. This should be considered and explored early in the research design to ensure that appropriate funding and arrangements are put in place. Help and advice can be sought from the Insurance Office by contacting: insure@soton.ac.uk. Guidance on research integrity in cross-boundary research can be found in [Montreal Statement on Research Integrity in Cross-Boundary Research Collaborations \(2013\)](#).

When undertaking research in developing countries researchers must be aware of cultural sensitivities and differences and apply the principle of benefit-sharing to the research study. For further information in this area please see [Wellcome Trust's Guidance notes](#) on research involving people in low and middle income countries.

5.6 Research Ethics

The University aims to provide a competent, rigorous and independent process of ethical review, which is proportionate to the anticipated risks involved in a research project.

Researchers should consider all ethical and regulatory issues before any research work commences, and ensure that they are fully aware of and comply with all ethical and legal obligations and guidelines as required by relevant stakeholders, including seeking ethical review, and approval and authorisation for research where appropriate.

All researchers must be familiar with and observe at all times the University's [Ethics Policy](#), and should ensure that they act and conduct their research to the highest ethical standards.

Research involving secondary data may require ethical review where there are substantial ethical considerations.

All research requiring ethical review must be registered on the University's electronic document management system [ERGO](#) (Ethics and Research Governance Online). Research and data collection, including recruitment of participants or fieldwork, must not commence until ethical approval is granted by the relevant Faculty Ethics Committee, the University's Research Integrity and Governance (RIG) Team, or other relevant external body.

If in doubt about the need for ethical review, researchers should contact the Research Integrity and Governance (RIG) Team on rgoinfo@soton.ac.uk or their Faculty Ethics Committee (FEC).

5.7 Research Involving Human Participants, Human Material or Personal Data

The University is committed to protecting the rights, welfare, safety and dignity of all those involved in research, and to promoting and achieving the highest ethical standards.

Where research involves the participation of individuals as the subjects of investigation, it must comply with the University's [Policy on the Ethical Conduct of Studies Involving Human Participants](#).

All clinical research involving human participants should be undertaken in line with the principles of [Good Clinical Practice](#). Where research involves study of human biological material, researchers must adhere to the relevant Code of Practice developed by the Human Tissue Authority and be familiar with all other ethical and licensing requirements appropriate to a study.

5.8 Health and Safety

All researchers must ensure the dignity, rights, safety and well-being of all involved in research, including researchers themselves, and avoid unreasonable risk or harm to research participants, the environment or animals. The University's [Health and Safety Policy](#) should be observed, and a prior risk assessment should be undertaken. Research projects should only commence and continue if the anticipated benefits justify the risks involved. Researchers should also make sure that their research study, especially if it involves potentially hazardous or harmful material, or which might cause harm to the environment, conforms to all appropriate health and safety legislation and good practice, and that sufficient insurance and indemnity has been arranged with the Insurance Team. Information and advice on Health and Safety is available on the [University's Intranet](#).

5.9 Sponsorship for Clinical Research

In the context of clinical research, or research in social care settings, prisons and/or the armed forces, a Research Sponsor ('the Sponsor') is the individual, company, institution or organisation responsible for the initiation, management (or arranging the initiation and management) and/or financing (or arranging the financing) of research. The Sponsor takes primary responsibility for ensuring that the design of the study meets applicable standards and that arrangements are in place for appropriate research conduct and reporting. Any research requiring Sponsorship must have an organisation willing and able to take on the responsibilities of the Research Sponsor. The responsibilities of Sponsors are set out in more detail in the Department of Health [Research Governance Framework for Health and Social Care](#) (2005) and by the Health Research Authority.

The University can act as a Research Sponsor however this does not constitute blanket acceptance for all University-led research projects. The risks attached to assuming the role of the Sponsor vary and are assessed and considered on individual project basis. Any requests for Sponsorship should be directed to: rgoinfo@soton.ac.uk.

5.10 Insurance and Indemnity

The University provides a full range of insurance policies which protect the University's assets and liabilities and extend to liabilities of researchers undertaking authorised research on behalf of the University. The University provides also professional indemnity cover which provides indemnity in respect of legal liability to third parties for breach of professional duty due to negligent act, error or omission in connection with the University business.

The University's Insurance Office is responsible for providing advice on all matters relating to the University's insurance policies and claims, and for arranging necessary insurance cover for research projects. More information is available on the [Insurance webpage](#), [Researcher Portal](#), or by contacting: insure@soton.ac.uk.

5.11 Monitoring and Audit

Any research undertaken by the University can be subject to monitoring and audit (by adopting a risk-based and proportional approach) by the University and/or external regulatory bodies and competent authorities, to ensure that it is carried out in accordance with good practice, and all legal and ethical requirements. Researchers are expected to fully co-operate with monitoring and audit of their research studies and any outcomes.

5.12 Adverse Events

Researchers have a duty and responsibility to report any adverse events and incidents that occur during, or result from, a research project to the Research Integrity and Governance (RIG) Team by email: rgoinfo@soton.ac.uk, fax 02380 593585, or telephone: 02380 598580 (internal x28580). Reports by telephone will need a follow up by fax or email. All researchers should be familiar with any relevant legal or regulatory requirements and timeframes to report adverse events directly to external regulatory bodies, competent authorities or funders appropriate to their study. Any queries on reporting requirements can be sent to the RIG Team on rgoinfo@soton.ac.uk.

Accidents, incidents, dangerous occurrences and 'near-misses' occurring during the course of research should be promptly reported in line with the University's [Health and Safety Policy](#).

5.13 Export Controls

Exports of strategic goods and technology are controlled as part of the UK's national security and foreign policy objectives, and in line with international obligations and commitments including imposition of trade sanctions or arms embargoes.

Export Controls principally regulate export of military items from the UK to anywhere in the world and dual use items (non-military items which may also be used for military purposes) to outside the EU, though some more sensitive exports also require licences from the UK to other EU states. Exports are also controlled if they might be used for development of Weapons of Mass Destruction (WMD).

Export can take place via physical or electronic means. In addition to the physical removal or transfer of goods, technology, software (including carriage of a laptop on a trip) or knowledge (which may capture teaching), any electronic transfer such as e-mail, fax, telephone, text messaging or video-conferencing to a destination outside the UK, may require an appropriate licence from the Export Control Organisation (ECO).

It is the responsibility of individual researchers to be aware of and comply with the Export Controls laws relevant to their field of study. Failure to adhere to the Export Controls requirements is a criminal offence and can lead to potential unlimited fines, legal costs and prison sentences of up to 10 years. Information on Export Controls is available on the [ECO's](#) website, [Researcher Portal](#) and from Research Integrity and Governance (RIG) Team by contacting researchintegrity@soton.ac.uk.

5.14 Research Involving Animals

The use of animals in research is subject to rigorous controls and is governed by the [Animals \(Scientific Procedures\) Act 1986](#) (ASPA). The University is committed to the highest standards of animal welfare, and to the principle of [3Rs](#): replacing animals with alternative methods wherever possible, reducing the number of animals used, and refining procedures to minimise harm and adverse effects. The University supports and is a signatory to the [Concordat on Openness on Animal Research](#).

Research involving animals requires prior approval from the University's Animal Welfare and Ethical Review Body (AWERB), and appropriate Home Office licences for the University, the study project and the investigator. Researchers must be familiar with the University's [Animal Research Policy](#), and comply with all legal and ethical requirements and applicable guidance. All researchers and professional service staff have a duty to maintain the highest standards of care for all animals involved in research.

Other types of research involving animals (vertebrates or cephalopods) but not covered by ASPA are also subject to an appropriate ethics review and approval by AWERB.

5.15 Research Data Management

Effective and accurate management of research data and records constitutes a foundation of good research practice. Researchers are expected to keep full, clear, and secure records, whether in paper or electronic form, of their procedures and results, including interim findings where applicable.

All researchers must ensure that they are fully cognisant of, and adhere to the University's [Research Data Management Policy](#). Researchers must be also mindful of relevant legislation, funding body policies, as well as their discipline specific best practice for the collection, use, retention and storage of research data.

All researchers are expected to observe the following research data principles and standards:

- All data should be collected accurately, efficiently and according to the agreed design of the research project.
- A Data Management Plan (DMP) is recommended (unless mandatory from funder) to be prepared for all research proposals that will generate data.
- All data must be accurately managed throughout the research lifecycle.
- All primary and secondary data must be stored in a secure, durable and auditable format appropriate for the type of research data.
- In line with the University's [Research Data Management Policy](#) all research data must be securely stored for a minimum period of 10 years from its collection or publication of research results. Data should be held for longer if the increased retention period is required by the research funder or sponsor, or when the research is of major social, environmental or heritage importance.
- The University is committed to making research outputs openly accessible and freely available to other researchers and to the public to maximise the visibility and impact of research, with

exceptions where ethical, legal, contractual or confidentiality restrictions prevail. All researchers are expected to be cognisant of and comply with the University's [Open Access Policy](#).

- Researchers should consult guidance provided by the Library on [research data management](#) and [open access](#).
- Disposal and destruction of research data must be undertaken in accordance with the University's [Recommended Practices for Destruction of Data](#) and other relevant legal, ethical and research funder requirements. Special consideration must be given to the issues of confidentiality and security.
- In case of research collaboration an agreement should be drawn up between the participating institutions regulating data ownership and publication of research outcomes.

Researchers seeking further guidance and advice on research data management should contact the University's Library on researchdata@soton.ac.uk.

Personal Data

Personal data is any data which could identify an individual, or a collection of data which could allow a researcher to trace back to an individual. All processing of non-anonymised personal data, including its collection, storage and ultimate destruction must comply with the terms of the [Data Protection Act 1998](#). Unless there are ethically and legally justified reasons for doing otherwise, researchers must ensure to obtain an explicit and informed consent from each study participant. Personal data must not be used for purposes other than in accordance with the consent given, unless there is the explicit approval from an Ethics Committee to do otherwise, and must not be kept for longer than is necessary. Further advice in this area can be obtained from the Research Integrity and Governance (RIG) Team on rgoinfo@soton.ac.uk or the Research Data Management Team in the University Library on researchdata@soton.ac.uk.

Personal data should be kept confidential and not disclosed to third parties unless permitted or legitimate to do so.

5.16 Intellectual Property and Copyright

Intellectual property (IP) is the product of thought, creativity and intellectual effort. It is the University's policy to encourage and facilitate the successful utilisation of IP to the benefit of the University, its researchers and as part of its contribution to society.

All researchers are required to familiarise themselves with, and strictly observe the terms relating to IP and confidentiality in any sponsored research, grant, contract or collaboration agreement. Researchers are expected to respect IP created by others, use it only with appropriate permissions, and fully comply with all relevant IP licences. Researchers should ensure they keep lab note books and other records for evidencing the creation of new IP arising during their research.

Researchers should be aware of and adhere to the [University's Intellectual Property Regulations](#) which specify conditions of use, identification and protection of IP and copyright.

Further information on any aspects of IP and copyright can be obtained from the [Researcher Portal](#) and by [contacting RIS](#).

5.17 Confidential Information

Researchers may be in receipt of confidential information from other researchers, collaborators and funders. Researchers need to ensure that they handle confidential and/or restricted information carefully and not use or disclose it to others without the consent of the party who owns the confidential information. Researchers must also ensure that they are aware of any confidentiality provisions applying to specific projects involving commercially sensitive data or Intellectual Property, and of possible obligations with respect of those provisions.

5.18 Publication and Authorship

All researchers are expected to publish and disseminate the results of their research in an open, honest, transparent and accurate manner, and via all appropriate media such as journal papers, books, reviews, software, data repository or conference proceedings. While both Intellectual Property rights regulations and the requirements of research contracts must be satisfied, only in the most exceptional circumstances of security or confidentiality should research findings be withheld from academic scrutiny, sharing or further use.

The University expects all the publications to conform to appropriate discipline specific professional standards, as well as following the examples of good practice as set out below:

- In any publication, the authors must be able to identify their contribution to it, be familiar with its content, and accept personal responsibility for it.
- In all aspects of research, the contributions of formal collaborators and all others who directly assist or indirectly support the research (including research students, research staff and professional services staff) should be properly acknowledged with their permission. Funders of research should be clearly acknowledged and any competing interests listed. The sequence in which authors are listed should be agreed by all authors, following disciplinary conventions or publishers' requirements. Intentional failure to acknowledge the contributions of others is regarded as unprofessional conduct, and instances other than minor omissions will be treated as research misconduct.
- Any person who has not made an intellectual, scholarly or practical contribution, and has not participated in a substantial way in conceiving, executing or interpreting at least part of the relevant research, should not be included as an author of the publication derived from that research (so called 'honorary authorship').
- Researchers must clearly acknowledge and attribute all sources used in the research in line with their specific discipline citation and referencing convention.
- A researcher who submits substantially similar work to more than one publisher should disclose that fact to the publishers at the time of submission.
- All publications should include sufficient methodological information to allow other researchers to reproduce original procedures used.
- Researchers have the responsibility to ensure that any inconsistencies or errors in their published material are rectified in a timely manner.
- Researchers should observe any conditions set by funding or other bodies regarding the publication of their research and its findings, and all authors should declare any potential or actual conflicts of interest which may be financial, commercial, personal, academic or political.

- All publications and research outputs should be made available to other researchers and to the public in accordance with the University's [Open Access Policy](#).
- All researchers are encouraged to be cognisant of the guidelines provided by [Committee on Publication Ethics](#) (COPE) and [International Committee of Medical Journal Editors](#) (ICMJE), as well as other discipline specific recommendations or standards.

6. INFORMATION AND ADVICE

Further information and guidance on research lifecycle can be found on the University's [Researcher Portal](#). Help and advice regarding research integrity matters and the application of this Code of Conduct should be sought from the Research Integrity and Governance (RIG) Team by contacting: rgoinfo@soton.ac.uk – for general ethics advice, human participation and clinical research queries, or researchintegrity@soton.ac.uk – for advice and questions regarding research integrity policies, export controls, ethics concerns or allegations of research misconduct.

6.1 Associated Legislation, Policies and Procedures

Policy and procedures from the University of Southampton ¹

[Conflicts of Interest Policy](#)
[Equality and Diversity Policies](#)
[Ethics Policy](#)
[Health and Safety Policy](#)
[Intellectual Property Regulations](#)
[Open Access Policy](#)
[Policy on the Ethical Conduct of Studies Involving Human Participants](#)
[Policy on the Use of Animals in Research](#)
[Procedures for Investigating Cases of Alleged Misconduct in Research](#)
[Recommended Practices for Destruction of Data](#)
[Regulations Governing Academic Integrity](#)
[Research Data Management Policy](#)
[University's Researcher Portal](#)
[Whistleblowing Policy](#)

Policy and procedures from other organisations

[ALLEA: The European Code of Conduct for Research Integrity \(2017, Revised Edition\)](#)
[Good Clinical Practice](#)
[Concordat on Openness on Animal Research](#)
[Concordat to Support Research Integrity](#)
[Concordat to Support the Career Development of Researchers](#)
[Montreal Statement on Research Integrity in Cross-Boundary Research Collaborations \(2013\)](#)
[RCUK Policy and Guidelines on Governance of Good Research Conduct \(April 2017\)](#)
[UKRIO Code of Practice for Research: Promoting good practice and preventing misconduct](#)
[Wellcome Trust Guidance notes on research involving people in low and middle income countries](#)

Legislation

[Animals \(Scientific Procedures\) Act 1986](#)
[Data Protection Act 1998](#)

¹ University regulation and policy can be found in the University calendar <http://www.calendar.soton.ac.uk/table-contents.html>

7. CODE OF CONDUCT REVIEW

This Code of Conduct and its implementation will be regularly reviewed by a University committee in line with updated sector-wide guidance. The review will take into account any new regulatory and legislative requirements, changes and recommendations from external research funding organisations, as well as relevant stakeholders.

8. VERSION CONTROL

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|---------------------------------------|-----------------------|---|-----------------|-----------------------|---------------------------------------|
| Date Approved: October 2017 | | Author: Research Integrity and Governance (RIG) Team | | | Revision Date: October 2020 |
| Version: | Revision Date: | Revised by: | Page No: | Amendment: | Authorised by: |
| 1.0 | N/A | N/A | N/A | No previous versions. | University Senate |
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9. ACKNOWLEDGEMENTS

The University of Southampton gratefully acknowledges that the following documents were referred to when preparing this Code of Conduct:

Cardiff University, 2015. *Research Integrity & Governance Code of Practice*.

DGF – German Research Foundation, 2013. *Safeguarding Good Scientific Practice*.

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University of Warwick, 2015. *Research Code of Practice*.

University of York, 2014. *Code of practice and principles for good ethical governance*.