CARDIFF METROPOLITAN UNIVERSITY
RESEARCH INTEGRITY AND GOVERNANCE FRAMEWORK

The Cardiff Metropolitan University Research Integrity and Governance Framework applies to all members of staff and students involved in research wherever it is conducted. The Framework also applies to persons not employed by the University but with permission to carry out research at Cardiff Met.

The Objectives of Research

The objectives of research undertaken at Cardiff Met include:

i. The deepening and broadening of knowledge and understanding by expert, responsible and professional means;

ii. The training of new researchers in appropriate methods and professional standards of research;

iii. The dissemination of results through publication, teaching, applied research and consultancy;

iv. The promotion of the interests and benefits of research;

v. The securing of the exploitation of results for the public good and the benefit of Cardiff Met and its members.

Using the Framework

All Cardiff Met staff engaged in research should maintain exemplary standards of academic practice and honesty in all aspects of research by reading, understanding and incorporating the principles and practices set out in the Research Integrity and Governance Framework into their everyday work.

Principles underlying the Research Integrity and Governance Framework are:

- Responsibility

  All researchers have a responsibility and a duty of accountability to society, to their profession, to Cardiff Met and to the funders of research. They have a duty to accept full responsibility for the professionalism and integrity of all aspects of the conduct and publication of their research, and for the activities of any staff or students under their direction. This extends to reporting conflicts of interest, actual or potential, or suspected misconduct, in the appropriate manner. Researchers must also accept accountability for taking steps to ensure the safety of those associated with the research, the probity of the financial management of the research project, and for seeking to provide optimum value for the public or private funds invested in the project. All legal and ethical requirements laid down by Cardiff Met or any other properly authorised bodies must be observed.

- Honesty

  Maintaining open and honest professional standards is fundamental to research at Cardiff Met. Researchers must be honest in respect of their own actions and in their responses to the actions of others. Honesty refers to upholding good scholarly practice and the avoidance of misconduct eg plagiarism or falsification. It also means publishing results promptly, correctly, acknowledging all contributors to the project, and not infringing IP.

- Openness

  The basic goal of research is the pursuit of knowledge and, as such, research methods and results should be open to scrutiny, discussion and debate. As far as confidentiality and protection of intellectual property rights and other arrangements will allow, researchers should be as open as possible with other researchers and the wider public regarding their work. After any findings have been published, all data and materials used in obtaining those results should be made available to other researchers as and when required.

- Accountability

  All researchers should be aware of the legal and policy requirements that regulate their work. This includes a responsibility to implement the law, guidelines produced by Cardiff Met, and research practice guidelines produced by relevant subject associations and professional or other appropriate bodies. This applies especially to the basic principles relating to ethics, information, finance and health & safety.

  All researchers must ensure the work they undertake is consistent with any agreements and terms and conditions defined by Cardiff Met and any funding organisation. This includes ensuring any project is carried out as defined in the original proposal (unless agreed otherwise), the finance is used solely for the purpose it was intended, reports are accurate and produced on schedule, and that there is adherence to the conditions regarding publication and intellectual property ownership.

- Acknowledgement

  In every aspect of research, the roles and contributions of funders, collaborators and other supporters of the work must be acknowledged. This should apply when publishing research findings, and whenever making a statement regarding the research.

- Rigour

  Cardiff Met promotes good research practice, emphasising integrity and rigour. Research requires a commitment to the careful, reflective process of discovery and interpretation. A rigorous approach to research is part of the professional integrity to which all researchers must adhere. All results should be checked before publication and researchers should not lose sight of the need to question the findings of their research, as ideas and results will be challenged once they are published.

- Sustainability

  Cardiff Met embraces a wide definition of sustainability based on engaging in development that meets the needs of the present without compromising the ability of future generations to meet their own needs, in terms of social, cultural and financial factors. In line with this principle, the institution encourages research into sustainability. In addition, Cardiff Met expects its researchers to be familiar with Cardiff Met's sustainability policy and related policies and to ensure that they adopt sustainable approaches to their research.

General guidance on good practice in research

1. Research carried out by Cardiff Met staff and students will comply with all relevant legal and ethical requirements. This includes following the guidance issued by the University Ethics Committee (UEC) with regard to ethics review of research projects and abiding by the outcome of that review.

2. When conducting or collaborating in research in other countries, Cardiff Met staff are required to comply with requirements existing in the country where the research is to be carried out.

3. When conducting research projects, staff and students are expected to ensure that they comply with Cardiff Met's policies and procedures to ensure good practice in research prevails at all times.

For further information, refer to the following:

*   *Guidelines for obtaining ethics approval*

*   *Concordat to Support Research Integrity*

Leadership and supervision

1. Cardiff Met encourages an environment in which researchers are supported both by their colleagues and by dedicated research support staff located both in academic Schools and central support units.

2. Cardiff Met fully supports the principles of the Concordat to Support the Career Development of Researchers

For further information, refer to the following:

*   *Concordat to Support the Career Development of Researchers*

*   *Recruitment & Selection Guidelines*

*   *Research Role Profiles*

*   *Organisational Development website*

*   *Equal Opportunities Policy*

Training and mentoring

1. Cardiff Met offers a range of staff development courses designed to assist staff in the development of their research activities. These courses cover a range of training and skill development needs and are offered with the aim of encouraging staff, including those new to research, to become involved in research.

2. A separate programme of training is provided for research students. This programme, which includes a dedicated Skills Week, covers topics such as research methods, data capture and analysis, and thesis development. In addition, a tri-annual Induction Programme operates for new research students. This latter programme helps research students locate their programme of study within the wider intellectual and organisational framework of Cardiff Met.

3. All schools adopt the practice of Mentoring as a means of providing support to new and less experienced research staff. Specific training for research student supervisors is provided and members of supervisory teams are expected to act as mentor for their post graduate research students.

For further information, refer to the following:

- *[Managing and Developing People](#)*

- *[Research Supervisors Handbook](#)*

Research Design

1. When designing a research project, researchers should adhere to best practice in their discipline(s) to ensure the research addresses pertinent questions and is designed to either add to existing knowledge or to develop methods for research into the subject area.

2. Guidance is also provided by Research & Enterprise Services to ensure that researchers consider all aspects of research study design including sufficient thought being given to the resources which will be needed in order to carry out the research project. Researchers should ensure that they are familiar with this.

3. A full risk assessment of any proposed research should be carried out prior to commencement of the project. For projects which require external funding, this process will be carried out by Research & Enterprise Services.

4. Researchers should attempt to anticipate any risk that the proposed research might produce results that could be misused for purposes that are illegal or harmful. Researchers should report any risks to, and seek guidance from, the appropriate person(s) and take action to minimise those risks.

5. Cardiff Met recognises that the maintenance of accurate and retrievable data arising from the work of its staff and students is vital to good practice in the conduct of research. Researchers are therefore expected to consider how they will store and manage the data arising from their research during the earliest stages of project design.

For further information, refer to the following:

- *[Research & Enterprise Services Sharepoint Site](#)*

- *[Research Data Management Policy](#)*

Collaborative working

1. Cardiff Met actively encourages its academics to forge links and work collaboratively with colleagues in other institutions, including those overseas. Academics undertaking such work are expected to be aware of the standards and procedures for the conduct of research followed by any organisation with which they are collaborating. Academics should, as far as possible, anticipate any issues that might arise as a result of working collaboratively and agree in advance how such issues might be addressed.

2. In the case of collaborative projects which require ethics approval and are led by another institution, Cardiff Met researchers should ensure that a copy of the ethics application and approval is forwarded to their School Ethics Committee for noting. Cardiff Met must be satisfied that the research has undergone ethics scrutiny which is at least as rigorous as that undertaken internally. Therefore, when reporting involvement in collaborative projects, researchers will be required to provide details of the ethics procedures to which the project has been subjected.

3. The use of Cardiff Met research equipment as part of collaborative research projects is encouraged where it helps to achieve the objectives of the project. Researchers including a commitment of Cardiff Met research equipment as part of Cardiff Met's contribution to a collaborative project are expected however to follow the institution's policy on use of research equipment.

For further information, refer to the following:

*   *Cardiff Met Research Strategy*

*   *Policy on the use of research equipment*

Conflicts of Interest

1. Cardiff Met recognises that conflicts of interest can inappropriately affect research and therefore expects researchers to declare any conflicts of interest as soon as they are identified.

2. Where research is externally funded, researchers are expected to comply with the requirements related to conflicts of interest of the applicable external funding body.

For further information, refer to the following:

*   *Academic staff contracts*

Research involving human participants & human samples

1. Academics conducting research are expected to comply with Cardiff Met's research ethics procedures, to operate within the terms of Cardiff Met's HTA licence and to comply with the *Policy on work involving animals or animal research*. Academics are expected to ensure at all times that the dignity, rights and safety of the participants themselves and others are safeguarded.

2.   Individuals conducting research involving children or adults who may not be able to give fully informed consent will be expected to follow the specific guidance provided for the ethical continuance of such projects.

3.   Cardiff Met expects that in most cases, written informed consent will be gained from all participants in research projects except those exclusively based on questionnaires which do not involve collecting sensitive data. Researchers are therefore required to undergo formal training in the gaining of informed consent prior to the commencement of research involving human participants.

4.   Researchers undertaking research involving work with human samples are expected to comply with the Cardiff Met Quality Management System.

For further information, refer to the following:

- *Guidelines for obtaining ethics approval*

- *Quality Management System*

Research involving animals

1.   Cardiff Met does not carry out any licensed research *on* animals and has no ambition to do so, however some work of the University does involve working *with* animals. In addition, the use of animal derived products and animal material is essential in some areas.

2.   When undertaking any work involving animals or animal material, staff and students will be guided by the institutional ethics standpoint as articulated in the Cardiff Met Ethics Framework as well as the requirements of any bodies governing their professional practice. Researchers will also at all times be guided by the 3 R's (Replace, Reduce, Refine).

3.   Without exception, ethics approval must be sought for projects which involve working with animals. Work involving animal derived material must follow the Cardiff Met procedures for the procurement of such materials.

For further information, refer to the following:

- *Policy on work involving animals or animal material*

Health and Safety

1.   The health, safety and well being of all staff and students is recognised as being essential to the success of Cardiff Met and Cardiff Met has in place robust health and safety mechanisms which reflect this.

2.   All persons at Cardiff Met have individual responsibilities to take reasonable care for their own health and safety and for that of others who might be affected by their acts or omissions and to assess the risks associated with their roles within Cardiff Met.

3. When submitting their project for ethics review, researchers are expected to address the risks associated with the project both to participants and to themselves and other members of the research team.

For further information, refer to the following:

- *Health and Safety policy*

- *Guidelines for obtaining ethics approval*

Intellectual property

1. When undertaking a research project, academics should consider any issues that might arise relating to intellectual property at the earliest opportunity and agree with partners in advance how they might be addressed.

2. Cardiff Met expects any contracts or agreements relating to research to include provision for ownership and use of intellectual property.

For further information, refer to the following:

- *Policy on staff rights in respect of intellectual property*

Finance

1. Principal investigators undertaking funded research projects are expected to adhere to the terms and conditions of the grant or contract and to be mindful of the project costing compiled prior to submission of the funding application.

2. Cardiff Met has standard guidance relating to the purchase or procurement of materials, equipment and other resources which academics are expected to follow when undertaking a research project.

3. When undertaking research projects which entail the hiring of specific personnel, Cardiff Met expects academics to comply with the Employment Policy Framework.

4. Researchers are expected to co-operate with any monitoring and audit of finances relating to research projects and report any concerns or irregularities to the appropriate person as soon as they become aware of them.

For further information, refer to the following:

- *Cardiff Met Procurement procedures*

- *Employment Policy Framework*

Collection and retention of data

1. Researchers should consider how data will be gathered, analysed and managed at an early stage of their project design. This should include consideration of how, and in what form, data will eventually be made available to others.

2. To ensure compliance with the Data Protection Act, Principal Investigators must ensure that research project participants are informed of what personal information will be held about them and who will have access to it.

3. Any data produced as a result of a research project should be recorded in a durable and appropriately referenced form and stored in a secure and accessible form.

4. The minimum period for retention of research data will be ten years from the date of publication. However, where the funder of the research requires a longer retention period, this will be adhered to. Researchers should consider the issue of retention periods as part of a Data Management Planning exercise

For further information, refer to the following:

-   [*Research Data Management Policy*](#)

Monitoring and Audit

1. Researchers will be expected to co-operate with the monitoring and audit of their research projects by applicable bodies. Cardiff Met would also expect academics to report the need for an audit to the appropriate person should they become aware of a need for monitoring and audit where it is not already scheduled.

Peer Review

1. Cardiff Met believes the practice of peer review to be an important part of good practice in the conduct of research. Academics are encouraged to share their work with colleagues to enhance and improve it.

2. Applications for external funding of research projects totalling in excess of £25,000 are subject to the formal peer review process.

3. Researchers should be aware of any mechanism employed by their School for the peer review of research outputs produced by staff.

4. Cardiff Met encourages academic staff to act as peer reviewers for journals and other publications and to fulfil such roles recognising the obligations of peer reviewers to be responsible, thorough and objective and to maintain confidentiality at all times.

For further information, refer to the following:

-   [*School Review (SR) and Technical Review (TR) of research project applications*](#)

Publication and authorship

1. Cardiff Met recognises the importance of publishing and disseminating research in a manner that reports the research and its findings accurately and without selection which could be misleading and encourages its academics to seek funding from organisations who share this ethos.

2. In line with Cardiff Met's commitment to Open Access publishing, researchers are required to endeavour to make the research outputs they produce freely available whilst fully complying with the publishing requirements of their research funders. To achieve this, researchers will follow one of the three routes outlined in the institutional Policy on Open Access publishing of research.

3. Researchers are expected to address issues relating to authorship at an early stage of the design of the project and to follow the guidance provided by Cardiff Met in this respect.

For further information, refer to the following:

- *[Policy on Open Access publishing of research](#)*

- *[Research publications policy](#)*

Misconduct in Research

1. Cardiff Met considers misconduct in research to include the following, whether deliberate, reckless or negligent:
   - failure to obtain appropriate permission to conduct research;
   - deception in relation to research proposals;
   - unethical behaviour in the conduct of research (eg in relation to research participants;
   - unauthorised use of information which was acquired confidentially;
   - deviation from good research practice, where this results in unreasonable risk of harm to humans, other animals or the environment;
   - fabrication, falsification or corruption of research data;
   - distortion of research outcomes, by distortion or omission of data that do not fit expected results;
   - dishonest misinterpretation of results;
   - publication of data known or believed to be false or misleading;
   - plagiarism, or dishonest use of unacknowledged sources;
   - misquotation or misrepresentation of other authors;
   - inappropriate attribution of authorship;
   - fraud or other misuse of research funds or research equipment;
   - attempting, planning or conspiring to be involved in research misconduct;
   - inciting others to be involved in research misconduct;
   - collusion in or concealment of research misconduct by others

2. Cardiff Met recognises its responsibility to investigate allegations of research misconduct fully and expeditiously and has a well defined process for carrying out such investigations.

3. Cardiff Met expects researchers to understand what constitutes misconduct in research and to report any suspected misconduct through the relevant procedure as soon as they become aware of it.

For further information, refer to the following:

- *[Cardiff Met Policy on Research Misconduct](#)*

Queries related to this document should be directed in the first instance to:
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