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**Kingston
University**
London

Academic Guidance 4:

Guide to Good Research Practice

2024-2025

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Section 1

Background and Context

- 1 The UK Research Integrity Office (UKRIO) has produced a set of guiding principles and standards to inform the management and conduct of research, the [Code of Practice for Research](#) and UKRIO Recommended [Checklist for Researchers](#). Universities UK has published the Concordat to [Support Research Integrity](#) and the UK Research Councils has produced complementary guidance in their Policy and Code of Conduct on the [Governance of Good Research Conduct](#). These documents have informed the latest revisions to the University Guide to Good Research Practice. The University procedures for dealing with [Allegations of Misconduct in Research](#) can be found as a separate document.
- 2 Kingston University is not prescriptive about the individual approaches taken by its researchers to solving particular research problems. The University respects academic freedom and believes that an atmosphere of free and open discussion is essential to its life and work. Such an atmosphere can be achieved only if all concerned behave with necessary tolerance and avoid needlessly offensive or provocative action and language. The University takes steps to ensure that freedom of speech within the law is secured for its staff and students. For further information see the University [Freedom of Speech Policy](#).
- 3 Through good conduct the University aims to maintain its own reputation, as well as public trust in research as a whole. The University aims to ensure that there are adequate structures to promote and promulgate good research practice. The following Guide supports this aim and demonstrates that the University is committed to a culture and environment where high standards of personal and professional conduct are encouraged and expected. It is the responsibility of all researchers to be aware of their commitments and the expectations of the University as outlined in this Guide.
- 4 The Guide to Good Research Practice is intended to complement other University policies, procedures and guidelines. The Guide attempts to draw together elements of good practice which are of particular relevance to research, however this guidance is by no means exhaustive. Researchers should consult with related University policies, procedures and guidelines as appropriate, including those on research ethics, allegations of research misconduct, whistleblowing, confidentiality/data protection, intellectual property, dignity at work/grievance, disciplinary action, equality, health and safety, staff development and finance.
- 5 Many of these can be found on the [Policies and Regulations](#) page of the Kingston University website.

Section 2

Introduction and Scope

- 6 Good practice in research is integral to developing the highest quality research. In this Guide, the University sets out general standards, principles and responsibilities regarding good research practice. The Guide does not stipulate how these should be put into operational practice at a local level, as this will vary according to the research environment of the Knowledge Exchange Institute (KERI), Faculty and School. The University Research and Knowledge Exchange Committee is responsible for reviewing the contents of this guide on an annual basis.

Definition of Research

- 7 Note that, for the purposes of this Guide, "research" refers to the definition used by the Research Excellence Framework (REF2021): "A process of investigation leading to new insights effectively shared".

REF2021 states that research:

"... includes work of direct relevance to the needs of commerce, industry, culture, society, and to the public and voluntary sectors; scholarship; the invention and generation of ideas, images, performances, artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction. It excludes routine testing and routine analysis of materials, components and processes such as for the maintenance of national standards, as distinct from the development of new analytical techniques. It also excludes the development of teaching materials that do not embody original research."

Scope

- 8 This Guide is intended for academic, research, professional staff and other individuals employed by Kingston University to carry out research at, or on behalf of, the University. The term researchers has been used throughout this Guide to refer collectively to the above groups of people.
- 9 Research students and their supervisors should use this guide in conjunction with the Research Degrees Staff Handbook, which also outlines procedures for dealing with allegations of research misconduct for research students.

Researcher Responsibilities

- 10 The University expects all its researchers to act with the highest standards of integrity irrespective of the source from which their posts or projects are funded. Researchers should consider good practice in research as a routine part of their work and should be aware that good practice includes reporting concerns about the (mis)conduct of research.

Researchers should:

- a) recognise their responsibility to conduct research of high ethical standards, including the [use of AI](#);
- b) be aware of Kingston University's policies and procedures on good practice in research, including safety, safeguarding and wellbeing considerations for all involved;
- c) make sure that their research complies with these policies and procedures, and seek guidance where necessary;
- d) work with the University to ensure they have the necessary training, resources and support to carry out their research; and
- e) suggest to the University how guidance on good practice in research might be developed or revised.

External Regulations and Collaborative Research

- 11 In addition to this Guide, researchers should follow the requirements and guidance of any professional bodies in their field of research, included learned societies. Researchers who are members of a regulated profession must observe the standards of the body regulating their profession and follow their requirements. Researchers working with, for, or under the auspices of any of the UK Departments of Health and Social Care and/or the National Health Service must adhere to all relevant guidelines, for example the Department of Health's Research Governance Framework for Health and Social Care. Many subject associations and professional bodies produce guidance documents on good research practice and researchers are expected to familiarise themselves with these as appropriate (e.g. the Association of the British Pharmaceutical Industry Code of Practice, the Market Research Society Code of Conduct, the Institute of Biomedical Science's Good Professional Practice document, the for Biomedical Scientists).
- 12 In addition to this Guide, 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. Similarly, Kingston University researchers should ensure collaborating partners are aware of the standards and procedures outlined in this Guide. Researchers should ensure the agreement of, and compliance with, common standards and procedures for the conduct of collaborative research, in consultation with support departments and research managers as necessary. 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.

Section 3

Principles of Good Research Practice

- 13 The following principles aim to encourage researchers to 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. The University expects these principles to be integrated into all aspects of research and scholarly activity.
- 14 The main principles of good research practice are:
- i) **Excellence:** The University and its researchers should strive for excellence when conducting research and aim to produce and disseminate work of the highest quality.
 - ii) **Honesty:** The University should work to create and maintain a culture of research that fosters and supports honesty in research. Researchers should be honest in relation to their own research and that of others. They should do their utmost to ensure the accuracy of data and results, acknowledge the contributions of others, and neither engage in misconduct, nor conceal it.
 - iii) **Integrity:** Researchers must comply with all legal and ethical requirements relevant to their field of study. They should declare any potential or actual conflicts of interest relating to research and where necessary take steps to resolve them.
 - iv) **Co-Operation:** The University and its researchers should promote the open exchange of ideas, research methods, data and results and their discussion, scrutiny and debate, subject to any considerations of confidentiality.
 - v) **Accountability:** The University and its researchers should 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. Researchers should follow the requirements and guidance of any professional bodies in their field of research. Researchers who are members of a regulated profession must follow the requirements and guidance of the body regulating their profession.
 - vi) **Training and Skills:** Training and opportunities for development should be provided for researchers, along with the necessary resources to enable them to conduct research to the required standards. Researchers should be supported in identifying unmet needs for training and development. Researchers should ensure that they have the necessary skills, training and resources to carry out research, in the proposed research team or through collaboration with specialists in relevant fields, and report and resolve any unmet needs identified.

Section 4

Research Governance

- 15 National and international research governance involves a complex of policies, laws, initiatives and values, and is in a continuous state of change. Through research effective governance within the University, we are able to promote and maintain an environment which fosters and supports research of high ethical standards, mutual co-operation, professionalism and the open and honest exchange of ideas.
- 16 It is the responsibility of each individual member of the University involved in research to adhere to the principles of good research practice. The Chair of the University Research and Knowledge Exchange Committee is charged with overall responsibility for research conduct in the University on behalf of the Senior Leadership Team and the Board of Governors. The KERI Directors, Provost and Deans are responsible for ensuring good research conduct in their respective faculties. In addition, all other senior faculty staff, should ensure that they create and maintain an environment that ensures good research conduct.
- 17 The University committee structure is critical to the effective dissemination of information and policy documents. Committees allow a range of different perspectives to be shared and the opportunity for debate and negotiation. Committee members are expected to take a representational role and be active in relaying information to relevant parties where required.

Research Leadership

- 18 Senior members of the University will provide direction and leadership for research activities and, through doing so, ensure that a research climate is created and a culture embedded where good research conduct is inherent. KERI Directors and are responsible for ensuring that the research culture promulgated at university level is communicated to all involved in research, and that these staff are made aware of this Guide. Those responsible for leading groups of research staff (including principal investigators) are responsible for ensuring that the research culture promoted by the University is translated into good practice during the conduct of research activities. These research leaders should create an environment of mutual cooperation, in which all members of a research team are encouraged to develop their skills and in which the open exchange of ideas is fostered and proper conduct of research is carefully observed. They must also ensure that appropriate supervision and mentoring of researchers is provided, taking special account of the needs of new researchers.

Research Supervision and Management

- 19 All researchers should receive good supervision appropriate to their experience. Research misconduct is least likely to arise in an environment where good research practice is encouraged and where there is adequate supervision at all levels. Sound management practice should create an

effective and enabling environment ensuring the integrity and quality of research activities and the timely delivery of research outputs. Sound management practice includes good recruitment practice, effective management of staff (including their development and training), and implementing robust systems of project and budget management and the recording, storage and archiving of research data.

Section 5

Training and Mentoring

Researcher Development

- 20 It is the responsibility of the University to ensure that there are adequate provisions for training and development to enable researchers to attain the necessary skills for their current role, and to support their future career development. Training is not seen as a box-ticking exercise, but as the continual development of awareness. It does not only include formal workshops and courses, but also access to guidance and briefings, as well as managerial and peer support. Individuals with line management or supervision responsibilities should encourage their staff to undertake appropriate subject-specific and transferrable skills training, by making opportunities known to them and by giving advice on personal development. The **Researcher Development Framework** is a professional development framework for planning, promoting and supporting the personal, professional and career development needs of researchers. The University recognises the [Concordat to Support the Career Development of Researchers](#) which consists of a set of key principles for the support and management of research careers.
- 21 The University will: monitor and review policies and practices for the employment of research staff; organise transferable skills training, including training for managers; ensure that line managers are aware of their roles and responsibilities; include provision for research staff in university staff development programmes; monitor through the appraisal process, exit interviews/questionnaires and the staff survey.

Supporting new Researchers

- 22 It is the responsibility of all members of staff, particularly senior staff, to ensure that new researchers understand the principles of good research practice and are encouraged through development, training and mentoring arrangements to reach their full potential as researchers. Individuals with line management or supervision responsibilities are expected to ensure researchers receive appropriate induction, even if they have previously worked elsewhere in the University. They should: ensure that new researchers have reasonable access to relevant managers and appropriate guidance and are aware of relevant policies and regulations; arrange regular review meetings to plan training and development; where possible, seek additional funds within externally funded projects to support the development of researchers; provide guidance on career planning; and ensure that researchers are involved in the wider life of the University.
- 23 Each KERI should ensure that it has a mentoring system in place for new researchers. A mentor should usually be from the same subject area as the new researcher, but should not be their line manager. Mentors should facilitate the involvement of mentees with the wider life of the KERI and Faculty and may offer information and advice, directing mentees to

appropriate policies, guidance and support departments where appropriate. Some mentors may also act as informal peer reviewers for research grant applications and research outputs.

- 24 It is important that new appointees receive feedback from line managers on how well they are meeting the objectives of the post including, where applicable, research performance. New researchers should have their research development carefully supported by their School and mentor throughout the probation period. Progress should be reviewed regularly and any training needs identified.

Section 6

Ethical and Legal Requirements

- 25 The University expects all researchers to consider the ethical and legal implications of their research and to be aware of their responsibilities to society, the environment, their profession, the University, regulatory bodies, sponsors and research participants.
- 26 All research that involves humans potentially gives rise to ethical issues. Research projects involving humans must be subjected to an appropriate level of ethical scrutiny prior to the commencement of the research. For further information see the current [University Ethics Guidance and Procedures for Undertaking Research Involving Human Participants](#). For further information on risk refer to the section on [Risk](#).
- 27 Junior members of staff can seek assistance and review of proposed projects which may give rise to ethical issues from more senior / experienced colleagues. Each Faculty has a nominated Faculty Research Ethics Lead (FREL) who is able to provide advice on research ethics.

Animal Research

- 28 The University does not carry out any research involving animals on its premises. Experimentation on animals is strictly controlled by the Home Office and can only be conducted by licensees in accordance with the Animals (Scientific Procedures) Act of 1986.
- 29 Where KU staff or students are associated with research involving animals, researchers should consider at an early stage the opportunities for reduction, replacement and refinement of animal involvement. Any research involving animals must be conducted by suitably qualified individuals under licence and should be subject to ethical approval by an appropriately qualified research ethics committee. The nature of KU's involvement should be recorded be reported to the University Research Ethics Committee.
- 30 We are using definitions as per the Animals (Scientific Procedures) Act:
 - By 'animal' we refer to all living vertebrates, other than humans, under the responsibility of humans (plus the invertebrate species Octopus Vulgaris); and from halfway through their gestation or incubation periods (for mammals, birds and reptiles) or from when they become capable of independent feeding (for fish, amphibians and octopuses).
 - By 'research' we refer to animal experiments that could potentially cause pain, suffering, distress or lasting harm to animals under the responsibility of humans. Observational research that does not cause any harm is usually acceptable, but the PVC (Research) should be informed of any projects which could be deemed controversial.

Section 7

Undertaking Research

Funding Applications

- 31 Lead applicants should take all reasonable measures to ensure the accuracy and completeness of information that is contained in applications for funding, including the proper costing of bids. Detailed guidance on preparing a funding application is available from the [Research & Impact Team](#).
- 32 Research grant applications and contract research for public benefit are supported by the Research & Impact Team. Knowledge Transfer contracts are supported by the [Partnership and Business Engagement team](#). Consultancy and commercial research contracts should be properly negotiated through Kingston University Enterprises Limited (KUEL), the University's subsidiary company for commercial activity.
- 33 All applications for research funding (whether or not KU is leading) must go through the required University procedures, including appropriate sign-off (through Unified) in sufficient time to allow signatories to comment before the application deadline. Awards are made to the University not the individual; hence contracts must be signed by appropriate University signatories.
- 34 Note that charities can only fund research that falls within their charitable objectives. Charity law imposes certain obligations and restrictions on the use of charitable funds for research, for example, a requirement to disseminate research findings and a proscription on funding research for the purpose of commercial or private gain. Researchers should note these obligations when in receipt of charitable funding, regardless of the source, and that these obligations apply to the University itself, which has charitable status.
- 35 For further information see the
 - University Procedures for Applying for Research Funding;
 - University Knowledge Transfer Partnership Procedures;
 - Consultancy and research for business;
 - University Financial Regulations
 - University Process for Contentious Research

Planning and design

- 36 All research should be conducted to the highest levels of integrity. This includes appropriate research design and frameworks to ensure that findings are robust and defensible. Wherever possible, research designs should include quality assurance measures and protocols for ongoing monitoring and evaluation. Sufficient consideration should be given to project management and the roles and responsibilities of the key individuals involved, including how poor performance would be prevented and dealt

- with should it arise. Researchers should be prepared to make research designs available to peer reviewers and journal editors when submitting research reports for publication and should be able to evidence the quality of the research design, data collection processes and analysis.
- 37 When designing research projects, researchers should ensure that:
- a) 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;
 - b) the design of the study is appropriate for the question(s) being asked and addresses the most important potential sources of bias;
 - c) 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;
 - d) 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;
 - e) sufficient resources will be available to carry out the proposed research and that these resources meet all relevant standards; and
 - f) any issues relating to the above are resolved as far as possible prior to the start of the research.
- 38 Researchers are advised to clearly document every stage of the project, with entries signed and dated to help protect intellectual property rights. Such evidence should be retained for an appropriate period after the research has been completed, in order to assist in registering appropriate intellectual property rights, or with making or defending appropriate challenges to such rights.
- 39 It is the University's expectation that the lead researcher should undertake an ethical review and carry responsibility for risk assessment and the applicability of health and safety regulations; all researchers should be aware of the individual with whom this responsibility lies prior to the commencement of the research (this includes projects where the lead researcher is not a member of Kingston University). The appropriate timescales and mode of data storage should be confirmed in writing at the outset of the research project. There should be also be clarity as to the ownership and use of, where relevant: data and samples used or created in the course of the research; the results of the research; and equipment paid for by sponsors.
- 40 The potential to exploit IP should be considered at an early stage and certainly before data are submitted for publication or presented in any other public forum including the internet; public dissemination of research will result in the inability to register certain intellectual property rights such as patents. In certain cases it is necessary for nondisclosure agreements to be in place prior to the commencement of research, in order for research results to be commercially exploited; planning ahead is therefore essential.
- 41 The potential to generate social, economic, cultural and environmental impact beyond the academic discipline should also be considered as early as possible and measures put in place to facilitate this. Steps taken to exploit or generate impact from the research should be logged and any evidence of

arising impact should be recorded. The accurate recording of 'pathways to impact' is crucial to identifying further opportunities where impact can be generated.

- 42 Research administration should be responsive and appropriate to the scale of the project.

Conflict of Interest

- 43 Any potential conflicts of interest, whether legal, ethical, moral, financial, personal or other must be identified, declared and addressed. Any perceived conflict of interest must be disclosed to the appropriate Head of School (or delegate) who will determine what further action should be taken. That action may involve consultation with the funding body, journal editors, publishers, University departments or other parties to ensure that the conflict of interest does not compromise the research, or the University's interests. For further information see the University [Anti-Bribery policy](#).

Risk

- 44 All research projects must have sufficient prior arrangements for insurance and indemnity. The [Governance, Compliance and Legal Office](#) (GCLO) are responsible for ensuring the management of insurable risks and other contingent events that may have an adverse effect on the University. Note that the University does have insurance for clinical trials, however trials should be notified to the Risk, Business Continuity & Insurance Advisor to ensure cover is sufficient for any intended trial. Clinical trials conducted by the Faculty of Health, Science, Social Care and Education are covered by Kingston University's insurance.
- 45 Guidance on completing a risk assessment is available from the [Health & Safety Office](#) please refer to their area on Staffspace, where a general Risk Assessment Form can be located. The University recommends that anyone who is required to undertake such assessments is trained. The University provides training programmes and also provides an electronic system (Accord) to support the process.
- 46 Researchers should conduct a risk assessment of the planned study to determine:
- whether there are any ethical issues and whether ethical review is required;
 - the potential for risks to the organisation, the research, or the health, safety and wellbeing of researchers and research participants; and
 - what legal and insurance requirements govern the research.
- 47 Researchers should try to anticipate any risks that the proposed research might produce results that could be misused for purposes that are illegal or harmful. Any risks should be addressed as far as possible, in consultation with Faculty Research and Knowledge Exchange Committees, Faculty Research Ethics Leads or the University Health and Safety Manager as necessary, information available [here](#). Specific risks relating to the legal requirement for export control licences and under the [National Security and](#)

[Investment Act \(2021\)](#) must be addressed at the earliest opportunity, as must the potential for military 'dual use' see [Protect your research ideas and yourself](#) for more information and contact your Research Operations Manager for assistance. Please ensure that you check the [UK sanctions list](#) before proceeding.

- 48 The University is committed to improving sustainability performance. Due consideration should be paid to the environmental impact of all research projects, including related outputs such as products or services. The Kingston University Sustainability Hub can provide advice on good practice in environmental sustainability. For further information see the University [Sustainability Policies and Reports](#).

Health and Safety

- 48 Researchers must follow the requirements of the University [Health and Safety Policy](#), along with any reasonable additions requested by the University [Health and Safety Manager](#), who can be consulted if there are any concerns about the project.
- 49 All research should be conducted in an environment which is safe with respect to the researchers involved, the University community, the general public and the wider environment. All use of hazardous materials and processes should be subject to the University's risk assessments and health and safety procedures. Waste materials should be disposed of with due regard for appropriate health, safety and environmental regulations.
- 50 Researchers should receive adequate information, training and monitoring regarding safe practices. Equipment should be located in safe, suitable accommodation and serviced in accordance with the manufacturer's instructions. A member of staff should be designated as responsible for the maintenance of the equipment and the supervision of other users.
- 51 Employees have responsibilities to take reasonable care of themselves and other people affected by their work activities and to co-operate with the University in meeting their legal obligations. Please note the following:
- If a member of staff or student, for significant periods of their working or research time, is engaged in activities which places them in a situation without direct contact with other staff/students, or without direct supervision, during an activity that places that person at significant risk of exposure to a hazard (or number of hazards), a lone working risk assessment should be undertaken.
 - Any member of staff or student is working elsewhere for significant periods, a workstation assessment should be undertaken.
- 52 If a member of staff believes that the health or safety of any individual has been, or is likely to be endangered, or that the environment has been, or is likely to be damaged, then they should seek advice from the University [Health and Safety Manager](#) at the earliest stage possible.
- 53 Related information can be found in the [University Procedure for the Disclosure of Information on the Grounds of Public Interest \(Whistleblowing\)](#).

Safeguarding

- 54 Kingston University is committed to the safety and wellbeing of all students, staff, and visitors and has a legal duty to safeguard children, young people, and adults at risk. As lead of a research project you must ensure provision of a safe environment beneficial to work and study for everyone involved within your research project, including collaborators, students, employees and participants. That includes any research undertaken off-site, for which you should
- provide a risk-assessment,
 - ensure travel is booked through the Kingston University (KU) travel agent and covered by KU insurance and
 - consider whether any risk is appropriate and has appropriate mitigations. At one end of the spectrum that may include ensuring that people do not travel alone or have equipment to contact others if in difficulty or rearranging fieldwork venues to avoid war zones at the other extreme.
- 55 Safeguarding includes all risks, e.g. sexual harassment and bullying, as well as physical, discriminatory, mental and/or financial abuse. You should ensure that everyone involved is appropriately supported and directed to the Safeguarding Policy and Safeguarding Concern Reporting Form. This must also be reflected within your research design and will be considered during the research ethics review process.

Data Protection

- 56 Researchers should comply with all legal, ethical, funding body and organisational requirements for the collection, use and storage of data, especially personal data, where particular attention should be paid to the requirements of data protection legislation. They should also maintain confidentiality where undertakings have been made to third parties or to protect intellectual property rights. Researchers should ensure that data relating to publications is available for discussion with other researchers, subject to any existing agreements on confidentiality.
- 57 Researchers must abide by the Data Protection Act 2018 (amended in 2019 and 2020 for Brexit) and the UK General Data Protection Regulation (GDPR), the aim of which is to ensure that personal data is used fairly and lawfully and that, where necessary, the privacy of individuals is respected. In some circumstances individual members of staff can be held personally liable for breaches of the Act.
- 58 Any research students processing, or proposing to process, sensitive or Special Category Data or who may be sending any data overseas outside of the EU, are advised to discuss the matter in the first instance with their supervisor. If research students or staff researchers have any data protection queries, please contact dataprotection@kingston.ac.uk. Data transfers from the UK to other countries, including to the EEA, are subject to transfer rules.

- 59 Researchers should be aware that the Data Protection Act 2018 and the UK GDPR give individuals certain rights to know what data is held about them. There is also a right to have any inaccuracies in data corrected or erased. Any request for access to data under the Data Protection Act should be immediately referred to datasubjectrequests@kingston.ac.uk. The Data Subject Request form is available [here](#).
- 60 Researcher students who are unclear on UK GDPR and data protection principles, conditions for data processing (including the handling of sensitive data) and their responsibilities should contact their supervisor in the first instance. Queries from research students and staff should be sent to dataprotection@kingston.ac.uk. Staff can access [GDPR online training](#) and the University regularly arranges training for researchers (including students) on GDPR.

Collection and storage of data

- 61 The loss of primary data is common to cases of misconduct and would justify a prima facie assumption of negligence, if not dishonesty. Researchers must ensure that clear and accurate records of research procedures and results are maintained. All data relating to research projects must be kept securely. Data must be available for reference, verification and audit.
- 62 Primary electronic data should be stored securely on a central server, preferably OneDrive or SharePoint. We do not advise storing any personal data locally on a laptop, PC, memory stick or external hard drive. Individual researchers may hold copies of appropriate materials for their own use, but in order to protect themselves against loss or allegations of research misconduct, primary data in hard format (e.g. in a laboratory book) should be kept securely within the University.
- 63 All data gathered must be stored in both their raw and interpreted/analysed form in order to permit retrospective audit. Raw data should be dated and subsequent corrections or additions clearly identified. Special attention should be paid to recording the use and disposal of potentially hazardous materials.

Data Retention

- 64 The length of the retention period will vary although ten years from the date of publication (or completion if publication is not envisaged) is the normal minimum. UKRI specifies that data for projects of clinical or major social, environmental or heritage importance should be kept for 20 years or longer. Data gathered in the course of research projects remain the property of the University unless otherwise agreed by contract with a research sponsor, collaborator or funder. Those who wish, on leaving the University, to retain data or make copies should seek authorisation from their SLT representative (e.g. Faculty Dean), in consultation with the University Secretary's Office as appropriate. Such authorisation, if given, will be subject to guarantees that the requirements of these guidelines and those of the Data Protection Act will be adhered to. In some subjects, notably social sciences and

psychology, it is now common practise to pre-register protocols, expected outcomes and also to publish pre-prints for peer-input. You should consider whether these approaches are achievable, appropriate and/or expected within your research area. If you require further information, please contact [KORI](#) (Kingston Open Research Initiative). Further information on research data management, including the University's Research Data Management policy can be found [here](#).

Monitoring

- 65 Routine monitoring processes should be built into research designs in order to check on progress against aims, objectives and indicators, and to check research quality. Many funding bodies require the completion of regular monitoring reports. Lead researchers should carry out regular monitoring to see how outcomes and outputs are developing, and to ensure that the project is being delivered on time and within budget. Monitoring should be viewed as a regular 'health check' exercise to highlight any potential issues or difficulties and to ensure that research processes are robust. Clear records of monitoring exercises should be kept in case of audit or query. Evidence of effective monitoring may help to bolster claims of research quality. Routine monitoring may also serve to highlight positive news stories which can be used to generate publicity and interest. Where appropriate, major developments should be fed back to research sponsors.

Section 8

Research Outputs

Peer Review and Quality Assurance

- 66 Thorough and objective peer review is an important part of good practice in research and particularly so in the publication and dissemination of research and research findings, the assessment of applications for research grants and in the ethics review of research projects. Researchers should make use of formal and informal peer review throughout the course of the research, including the design stage.
- 67 Researchers are encouraged to act as peer reviewers wherever possible. They should maintain confidentiality and not retain or copy any material under review without the express written permission of the individual or organisation which requested the review. They should not make use of research designs or research findings from a paper under review without the express permission of the author(s) and should not allow others to do so. Researchers acting as peer reviewers must declare any relevant conflicts of interest. Any researcher who becomes aware of possible misconduct while carrying out peer review should follow the University Procedures for [Dealing with Allegations of Misconduct in Research](#).
- 68 Peer review of research outputs is important for quality assurance. Outputs which have been subjected to peer review are recorded as part of the University's research monitoring exercises, which assess the overall quality and health of research units and centres. The University and Faculty Research and Knowledge Exchange Committees maintain an overview of research activity and may conduct occasional audits of research quality, particularly when new Units or Research Centres are established, or during periods of significant transition.

Publication and Protecting Intellectual Property

- 69 Researchers have a duty to publish and disseminate research accurately and without selection that could be misleading.
- 70 The University encourages publishing in prestigious, high-impact outlets; papers in internationally recognised peer refereed journals, conferences of international standing and dissemination in the form of books and monographs are encouraged. Any errors or retractions found to be necessary should be published as soon as is possible.
- 71 Submitting research reports to more than one potential publisher at any given time or publishing findings in more than one publication without disclosure and appropriate acknowledgement of any previous publications is unacceptable.
- 72 The University recommends that sponsors should be informed of any potential publication or dissemination of the research findings. This will

enable the sponsor to have adequate time and accurate information to liaise with the University, in order to protect any arising intellectual property, or to plan public relations. Any contractual terms relating to dissemination/publication must be complied with.

- 73 Research can lead to results that have the potential to be exploited commercially. Research outcomes in this category may need protection via nondisclosure or other agreements and the filing of patents. In certain cases, it may be necessary for nondisclosure agreements to be in place before the research is undertaken. As soon as research results are in the public domain, which includes any form of disclosure to third parties, options for exploitation are inhibited. Researchers should not give prior disclosure of research or the findings of research when this might invalidate any commercial property rights that could result. However, any delay in publication and dissemination pending protection of intellectual property should be kept to a minimum. Where research involves a student who will necessarily be required to produce a dissertation or thesis for external marking and publication, any contract with a sponsor must reserve these rights for the student, even if the publication of such work is to be on a restricted basis only.
- 74 Note that IPR can only be adequately protected if researchers have kept thorough, accurate and contemporaneous research records. All intellectual property, know-how, products and materials generated by university employees in the course of university approved research projects are and remain the property of the University. However, the University may agree to share the value or proceeds of these with external sponsors subject to the terms of the appropriate contract(s) in place. Normally, such agreements will be negotiated at the research proposal stage and the University will be bound by any such contracts entered formally. The University will share the value or proceeds with individual University employed researchers under the terms of the University's Exploitation of Inventions and Patents Policy.
- 75 As a general principle, the University recognises a research student as the owner of any IPR they produce while registered as a student at the University. Assignments of those rights to the University or a third party may be necessary depending on the terms of the agreements in place with funding bodies and/or sponsors. If such an assignment is required, the student must be informed and their consent obtained before any research commences.
- 76 For further information see the University [Intellectual Property Rights Policy](#).

Authorship and Acknowledgement

- 77 Authorship should be restricted to those contributors and collaborators who have made a significant intellectual or practical contribution to the work. No person who fulfils the criteria for authorship should be excluded from the submitted work.
- 78 The authors of a publication are responsible for its content. When there are a large number of contributors, their contributions must be acknowledged and agreement reached about authorship and copyright. Further

information on copyright can be found in the University [Intellectual Property Rights Policy](#).

- 79 The University expects authorship to be based on:
- i. substantial contributions to conception and design, or acquisition of data, or analysis and interpretation of data; and
 - ii. drafting the article or revising it critically for important intellectual content.

The practice of honorary authorship is unacceptable.

- 80 Anyone listed as an author should accept responsibility for ensuring that they are familiar with the contents of the paper and can identify his or her contribution to it. Researchers should list the work of all contributors who do not meet the criteria for authorship in an acknowledgements section. It is standard practice to acknowledge funding sources in publications or publicity unless the sponsor states otherwise.
- 81 Researchers must clearly acknowledge all sources used in their research and seek permission from any individuals if a significant amount of their work has been used in the publication.

Wider Dissemination and Publicity

- 82 Researchers have a duty to disseminate their research as widely as possible, especially to those who will benefit directly from it, and to publish where their research will have the greatest impact. The University encourages researchers to be as open as possible in discussing their work with other researchers and with the public. The University recognises the [Concordant for Engaging the Public with Research](#) and the [Guidance on engaging the public with your research](#) may also be useful.
- 83 Publicity may be desirable to industrial sponsors and to fundraising charities but it is also increasingly important to the University itself since raising its profile with industry and funding agencies is integral to the University creating new research opportunities and securing future funding. Advice on media work and external publicity for research can be obtained from the University's Marketing & Communications Directorate and this is particularly vital when researchers are working in partnership with, or have had work commissioned by, other organisations, businesses or institutions.
- 84 It is critical that publicity and marketing i.e. how this will be carried and by whom are discussed with potential research partners or organisations commissioning research before contracts are signed and any research is carried out. Researchers should agree publicity plans with the Marketing & Communications Directorate and/or marketing department of such institutions or organisations so that profile and credit can be fairly divided. Where press releases and media work are carried out, for example, it should be agreed who is leading on the publicity and who is quoted from each organisation in any press or marketing materials which are produced.

- 85 In the past the University has been commissioned by leading businesses and sector organisations to produce research, but unfortunately has not been made aware, or included in, media work promoting this research. The result has been significant positive media coverage and profile-raising for the other organisation(s) involved and invisibility and a lack of credit for Kingston researchers, or the University. Again, the [Marketing & Communications Directorate](#), as well as the [University's legal adviser](#), are able to provide guidance on how publicity activity should be agreed and written into contracts with partner organisations.
- 86 As producers of primary research, it is expected that research active staff capture and preserve their intellectual output, and that in doing so contribute to a fundamental long-term change in the structure of scholarly communication. The details of all published research outputs should be made available through the Kingston University Research Repository; this includes written materials, audio-visual materials, web-based content, exhibition information and compositions. Staff are advised to cross-link to details held in the Repository from their staff profile web pages.

Exploitation and commercialisation

- 87 The University wishes to encourage the development and exploitation of its intellectual property, through whichever means is most appropriate, to the benefit of the University, to its staff, and as part of its contribution to economic development, through patents or the formation of development companies.
- 88 In line with national policies, the university positively promotes exploitation of research through university spin-out companies or licence agreements with external partners. Appropriate alternative routes may be consultancies or other forms of knowledge transfer. Further guidance is available from the [Business & Innovation team](#).
- 89 The potential to generate social, economic, cultural and environmental impact beyond the academic discipline should also be considered as early as possible and measures put in place to facilitate this. Steps taken to exploit or generate impact from the research should be routinely logged and any evidence of arising impact should be recorded. The accurate recording of 'pathways to impact' is crucial to identifying further opportunities where impact can be generated. Refer to the Research Impact [StaffSpace](#) pages for further information.

Section 9

Financial Requirements

- 90 Researchers should ensure that the terms and conditions of any grant or contract related to the research are adhered to and comply with organisational guidelines regarding the use and management of finances relating to research projects. Advice is provided by the [Research and Enterprise Accounting team](#).
- 91 Guidelines related to the purchasing or procurement of materials, equipment or other resources for research is available on [StaffSpace](#).
- 92 Internal Audit at Kingston University is provided by an in-house consortium, currently Kingston City Group (KCG). Reviews are carried out on a cyclical basis which cover processes for contract management and grant applications and sample testing including individual grants. The sample testing also includes transaction testing on expenditure.
- 93 Researchers are expected to co-operate with any monitoring and audit of finances relating to research projects and report any concerns or irregularities to your [Research Management Accountant](#) as soon as they become aware of them.
- 94 For further information see the [University Financial Regulations](#).

Post Award Procedures

- 95 The Principal Investigator (PI) is responsible for the overall management of the research project and the [Research and Enterprise Finance](#) team support post award finances and the [Research Operations Manager](#) (ROM) deals with sub-contracting and provides general guidance and sign posting.
- 96 Different funding bodies have different procedures for notifying researchers of the outcomes of funding applications. It is essential that applicants inform all interested parties of the outcome of funding applications, including the Research Development Manager (RDM) and ROM.

Section 10

Acknowledgements

The latest revisions to this Guide have been informed by the following:

Universities UK - Concordat to Support Research Integrity
UK Research Integrity Office - Code of Practice for Research
UK Research Councils - Policy and Code of Conduct on the Governance of Good Research Conduct

Birmingham City University – Guidelines and Procedures for Good Research Practice
Bournemouth University – Code of Good Practice in Research
Roehampton University – Code of Good Research Practice
University of Bolton – Guide to Good Practice in Research
University of Derby – Promoting Good Scientific Practice
University of East Anglia – Guidelines on Good Practice in Research
University of Glasgow – Code of Good Practice in Research
University of Hertfordshire – Guide to Good Practice in Research
University of Manchester – Code of Good Research Conduct
University of St. Andrews – Good Research Practice

Any queries about this Guide should be directed to research@kingston.ac.uk.