

THE GLASGOW SCHOOL OF ART

CODE OF GOOD PRACTICE IN RESEARCH

POLICY DETAILS:

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Author	Research Department (Colin Kirkpatrick)
Supporting Policies	Research Integrity Policy Research Misconduct Policy and Procedure
Benchmarking	University of St Andrews, University of Dundee, University of Glasgow, University of the Arts London, Rose Bruford College of Theatre and Performance, Royal College of Art, UK Research Integrity Office, Concordat to Support Research Integrity

THE GLASGOW SCHOOL OF ART
CODE OF GOOD CONDUCT IN RESEARCH

1. Introduction

- 1.1. This Code of Good Conduct applies to any person undertaking research under the auspices of GSA. This includes employees, visiting workers, emeritus and/or honorary staff, independent consultants contracted by GSA to undertake research, postgraduate research students (PhD, MPhil and MRes) and visiting postgraduate research students. It complements the GSA Research Integrity Policy, and should be considered in conjunction with the Research and KE Ethics Policy, Research Misconduct Policy and Procedure and other institutional policies and processes referred to below.
- 1.2. All those to whom this Code of Conduct applies are expected to meet the standards it describes. Further information, advice, guidance and training on these topics is available on the Research section of the staff intranet, or from the Research Department professional support team.
- 1.3. This document was informed by the Concordat to Support Research Integrity¹, the UK Research Integrity Office Code of Practice for Research² and the equivalent materials of a number of higher education providers.

2. Research Integrity

- 2.1. An approach to research that is honest, principled, ethical, rigorous, trustworthy, reliable, fair and respectful will meet the required standards of research integrity. In some contexts, this is referred to as 'responsible conduct of research'.
- 2.2. The Concordat to Support Research Integrity defines the core elements of research integrity as:
 - 2.2.1. **Honesty** in all aspects of research, including in the presentation of research goals, intentions and findings; in reporting on research methods and procedures; in gathering data; in using and acknowledging the work of other researchers; and in conveying valid interpretations and making justifiable claims based on research findings.
 - 2.2.2. **Rigour**, in line with prevailing disciplinary norms and standards, and in performing research and using appropriate methods; in adhering to an agreed protocol where appropriate; in drawing interpretations and conclusions from the research; and in communicating the results.
 - 2.2.3. **Transparency and open communication** in declaring potential competing interests; in the reporting of research data collection methods; in the analysis and interpretation of data; in making research findings widely available, which includes publishing or otherwise sharing negative or null results to recognise their value as part of the research process; and in presenting the work to other researchers and to the public.

¹ <https://www.universitiesuk.ac.uk/topics/research-and-innovation/concordat-support-research-integrity>

² <https://ukrio.org/ukrio-resources/publications/code-of-practice-for-research/>

- 2.2.4. **Care and respect for all participants** in research, and for the subjects, users and beneficiaries of research, including humans, animals, the environment and cultural objects. Those engaged with research must also show care and respect for the integrity of the research record.
- 2.2.5. **Accountability** of funders, employers and researchers to collectively create a research environment in which individuals and organisations are empowered and enabled to own the research process. Those engaged with research must also ensure that individuals and organisations are held to account when behaviour falls short.
- 2.3. The Concordat states that each of these elements applies to all aspects of all research, including the planning and preparation of research projects, the submission of grant and project proposals, the conduct of researchers while undertaking research, the publication and dissemination of findings, and the provision of expert review on the proposals, publications or outputs of others (peer review).
- 2.4. It also states that researchers must be able to exercise freedom in their academic choices, while also accepting responsibility for the decisions that they make; therefore, the primary responsibility for ensuring that a person acts in accordance with the principles of research integrity in all aspects of their work lies with themselves.
- 2.5. Note that the requirement to undertake research with rigour, as consistent with 2.2.2, should not be understood to mean that researchers must not develop innovative or creative methods, nor challenge paradigms; but if they do, it should be in a way that is itself rigorous and methodologically thorough, with results that stand up to scrutiny, on the basis of the work undertaken.

3. Research Ethics

- 3.1. All research proposed and undertaken at GSA should include careful consideration of its ethical implications at the appropriate time. Researchers should comply with the GSA Research and KE Ethics policy and conform with the guidance and principles presented in the Research Ethics Code of Practice. Researchers are responsible for following institutional processes to ascertain whether GSA research ethics approval is required before commencing research, knowledge exchange and related activities, and for taking the necessary steps to gain such approval. This will be particularly important in any research that involves human subjects, human data or animals. Supporting materials, such as template consent forms, are available from the Research Department. Note that in some cases, it will be necessary to obtain ethical approval from external bodies, for example the NHS, an HE provider with lead responsibility for a research project, or (for work being undertaken internationally) Government bodies in some countries.

4. Misconduct

- 4.1. Behaviours or actions that fall short of the expected standards described in this Code of Conduct may constitute research misconduct, and it is incumbent on GSA to investigate any instances of potential research misconduct and take appropriate corrective action in a manner that is fair, consistent, transparent and accurate. The Research Misconduct Policy and Procedure describes how GSA defines misconduct, and explains how allegations of misconduct should be raised and will be investigated.

5. Questionable Research Practices

- 5.1. Researchers can also fail to meet the necessary standards of integrity without ‘fully’ committing outright research misconduct if they indulge in what are described by some as ‘Questionable Research Practices’. These include actions such as: withholding details of methodology or results, failing to present data that contradict one’s own previous research and self-plagiarism or ‘recycling’ (without citation). Such practices are indicative of poor research and may also result in the scholarly literature being distorted, or other researchers being disadvantaged or misled. Researchers should avoid such behaviour, and more experienced researchers should support less experienced colleagues not to make such errors. Whether unsatisfactory behaviour constitutes misconduct or questionable practices can be a matter of expert judgement, and may be determined at the appropriate stage of the Research Misconduct Procedure.

6. Sharing Responsibility

- 6.1. All researchers have a duty to foster a culture of good research conduct and mutual cooperation by exchanging ideas and good practice. There is a particular expectation that experienced researchers and those in senior or leadership positions should support research students and less experienced researchers to develop their skills to work with integrity. This extends to the open sharing of information about research outcomes, methods and approaches, to enhance our collective knowledge and understanding.

7. Conflicts of Interest

- 7.1. Conflicts of interest, or competing interests, can have a potentially distorting effect on research. Researchers have a duty to identify, declare and address any competing interests in order to prevent poor practice and avoid the risk of misconduct. Members of staff should also comply with any relevant GSA policies on conflicts of interest.

8. Environmental Considerations

- 8.1. In terms of legal compliance, researchers must ensure that any research which involves material that might cause harm to the environment is managed in line with relevant regulations, including the use, storage and disposal of relevant substances. GSA staff should also observe institutional sustainability policies and procedures when engaged in research, as they would for any other activities. In addition, GSA regards environmental sustainability as a fundamental ethical consideration. Researchers should always carefully assess the potential negative environmental impacts of their work and seek to reduce, remove or compensate for them, ideally in ways that go beyond minimum regulatory or policy requirements. This extends to travel undertaken for research purposes — its necessity and the chosen mode.

9. Authorship

- 9.1. Everyone who fulfils the criteria for authorship should be included in submitted work, but authorship should be restricted to those contributors and collaborators who have made a significant intellectual, or in some cases practical, contribution to the work.

- 9.2. Authorship should not be allocated to honorary or 'guest' authors. Anyone accredited as an author should be able to take public responsibility for the (entire) work, ensure its accuracy and identify their own contribution to it. (In this context, the use of generative AI as a co-author is not acceptable.)
- 9.3. It is good practice for research collaborators to agree the intended approach to authorship at an early stage of the research, while acknowledging that relative contributions may change. Subsequent decisions on authorship and publication should be transparently communicated to everyone involved in the research, prior to submission to publishers or equivalent.
- 9.4. Contributors who are not authors should be included in acknowledgments, with their permission, as should any funders or sponsors. Any potential competing interests should also be declared.
- 9.5. While it is often legitimate for academic researchers to support a student's development by co-publishing with them, if a member of staff presents themselves as the lead author of work that is mainly an account of a student's project, this could be viewed as a questionable practice or (depending on the context) as potential misconduct.
- 9.6. All sources used in the work must be acknowledged, following academic norms in the field; permission should be obtained before reproducing a significant amount of another individual's work in a research output.
- 9.7. Submitting research outputs as publications to more than one potential publisher at the same time (duplicate submission) or publishing the same findings in more than one publication without citation (duplicate publication) may constitute a form of research misconduct. The Misconduct Policy and Procedure details other unacceptable behaviours relating to authorship.
- 9.8. For outputs which are not publications, equivalent standards should be adopted as appropriate to the context.
- 9.9. GSA Researchers are expected (promptly) to deposit their research outputs in RADAR, our institutional research repository, which helps to promote our work by making it discoverable and accessible to others (radar.gsa.ac.uk).

10. Open Access

- 10.1. New academic knowledge that is not effectively shared does not meet the accepted definitions of research. GSA is committed to the principles of open access publication whenever appropriate to enhance the visibility and accessibility of our research and its potential to contribute to public benefit. Researchers should comply with the GSA Open Access policy and follow its guidance. Research should normally be made available on terms that permit re-use, redistribution and interoperability of outputs. In addition, a number of external bodies stipulate additional open access conditions for some forms of (published) outputs, notably UKRI and REF. Researchers should ensure they understand any open access obligations which they are subject to before they submit work for publication. They should also understand that some forms of open access publication would involve costs to GSA, which must be considered and approved in advance (unless already budgeted for within a grant). Guidance on open access can be requested from radar@gsa.ac.uk.

11. Open Research

- 11.1. In addition to open access publication and dissemination of outputs, GSA supports an open approach to other stages of research, in which knowledge from different aspects of the research process is shared publicly, as appropriate. This may include research datasets, methods, reviews and reports. Care should be taken that the open publication of any material is consistent with contractual obligations (e.g. around intellectual property), obligations of confidentiality (e.g. relating to consents given by research participants) and data protection responsibilities. Subject to those considerations, research datasets can be deposited in our research repository, RADAR.

12. Peer Review

- 12.1. Participating in peer review of research outputs, grant proposals, studentship applications, conferences, applications for ethical approval and research plans is an important aspect of academic work and a way in which researchers contribute to their professional discipline and the institution's culture and environment. Such work is greatly appreciated, and GSA has a responsibility both to recognise its value and enable staff to access relevant training and advice, including guidance on the avoidance of bias.
- 12.2. Peer review should always be carried out to the highest standards of thoroughness and objectivity. Researchers should maintain strict confidentiality and not retain or copy material under review without permission, nor make use of research designs, data or findings from such material.

Research Governance, Regulation and Compliance

13. Research Funding Applications

- 13.1. All GSA staff should notify the Research Department at the earliest opportunity if they intend to develop a proposal for research, knowledge exchange or innovation funding, following the procedure specified in the Research section of the Staff Intranet. This applies in all cases, even when the funder's grant application process does not technically require research office approval. Any budgets to be included in research, knowledge exchange or innovation project proposals must be reviewed by the Research Department and Finance Department as applicable, in good time prior to submission. When proposals contain budgets for staff time, these must be generated and checked by Research and Finance. Pre-submission sign-off protocols will be defined in the Research section of the Staff Intranet and must be followed.
- 13.2. The core elements of research integrity (defined above) are as relevant to funding applications as they are to other aspects of research, and failure to meet those standards when preparing funding proposals may potentially be considered as research misconduct, even when the proposed research does not ultimately take place or receive funding.

14. Managing Research Grants and Funding

- 14.1. Under the guidance of colleagues in the Research and Finance departments, a researcher who is the GSA lead for a funded research project is responsible for ensuring that they understand

the allocated budget and the funder's terms and conditions for spending it (even if another institution ultimately holds the main grant). Terms and conditions often form part of a letter of award or grant confirmation, but may also be published by a funder as separate policies.

- 14.2. It is important that only eligible costs incurred at the appropriate time in the relevant cost category and related to the funded project are charged to the grant, and that any variation from the planned budget is permissible according to the funder's rules and procedures.
- 14.3. Grant holders should liaise with the Research and Finance Departments to make sure that a project is correctly accounted for within GSA's finance system, which would normally involve it being allocated with a dedicated finance project code. Good records of expenditure should be maintained and retained throughout, according to GSA financial procedures, allowing for accurate reporting to funders and to assist with any future audit. Failure to use a research grant for its intended purpose could be regarded as fraudulent, and could result in GSA being subject to penalties or sanctions.
- 14.4. In addition to a funder's financial conditions, the lead researcher should ensure that they understand and comply with all other requirements and obligations, including (but not limited to) those relating to reporting, publication (see 10.1), publicity and acknowledgements, duration of grant, research data retention, contracts, allocation of funds to collaborating partners, safeguarding, due diligence, equality, procedures for requesting project changes and management of intellectual property (see 16).
- 14.5. It is good practice to review a funder's terms, and to document how and when they will be met, as part of the project inception and planning process. If uncertain of their responsibilities, researchers should contact the Research Department team for guidance.

15. Collaboration Agreements and Contracts

- 15.1. A research collaboration agreement should be established for any research projects involving more than one organisation. It should enable all parties to agree how they will collectively manage aspects of a project such as confidentiality terms, publication guidelines, transfer of grant payments (if applicable), ownership of intellectual property and liabilities. The Research Department will assist with the preparation of sectoral standard templates for conventional academic collaborations, or advise on enlisting external legal suppliers if required. Where a collaborator is a non-academic organisation, it is particularly important to discuss and agree a shared approach at an early stage, as the initial expectations of the parties could differ. It is good practice to finalise any necessary contracts and collaboration agreements before a research project commences, and this may be a condition stipulated by research funders; working with the Research Department, any researcher who is the GSA lead for a collaborative project should endeavour to ensure that agreements are signed off by all parties before work begins on the research. Note that in some cases, GSA may be governed by sub-contracts or consultancy agreements, or may engage a collaborator on such terms.

16. Intellectual Property

- 16.1. Researchers should manage the knowledge generated by their research in accordance with GSA's intellectual property (IP) policies and procedures for staff or students, as applicable. In some instances, it will be necessary not to disseminate or share research until the potential

value and uses of the IP have been assessed and, if necessary, protected. Researchers have a responsibility to understand when funders, sponsors or research collaborators may have specific legal or contractual rights to IP that restrict how it can be used or shared, for example as specified in a collaboration agreement (see 15.1) or grant contract (see 14.4). Under normal circumstances, GSA will at the very least seek to protect the right to use research IP for subsequent academic teaching and research purposes.

- 16.2. Researchers must similarly understand how they are entitled to use other parties' IP that is shared with them to facilitate their role in research activities, and act accordingly. Researchers should always ensure that, if featured or referenced in their work, other parties' copyrighted material is always handled and cited appropriately, as regulations allow, and with appropriated permissions when required.

17. Data Protection

- 17.1. All research undertaken under the auspices of GSA must comply with the Data Protection Act 2018 and relevant GSA data protection policies. For research involving human data, the process of ethical approval will provide an opportunity to consider and plan for relevant data protection issues. During and on completion of their research, GSA policies on research data management and records management should be followed.

18. Research Data Management

- 18.1. Researchers should keep clear and accurate records of the procedures followed throughout the research and the results and outcomes obtained, including interim results. This is important not only in order to demonstrate the integrity of the research, but also in case questions are subsequently asked about the conduct of the research or the results obtained. Researchers should refer to the Research Data Management policy.

19. Health and Safety

- 19.1. All research carried out under GSA's auspices must comply with institutional policies and procedures (available on the Staff Intranet) and relevant legislation on health and safety, to ensure that risks to researchers, research participants and others are avoided or (when justifiable) minimised and managed effectively. Health and Safety matters will be considered and checked during ethical review, but the process of documenting health and safety issues and gaining approval for health and safety plans and risk assessments is as for other activities at GSA.

20. Safeguarding

- 20.1. All individuals involved in the research and innovation process have a role in creating safe and inclusive environments in which the work can take place. Researchers must give careful consideration to the safety of research participants, research teams and others when designing and carrying out their projects, with particular attention to those who might be in more vulnerable groups, such as (in some circumstances) people with protected characteristics and those in more disadvantaged socio-economic groups. When designing and

managing a research project, processes for reporting potential harm should be clearly defined and communicated, and appropriate action taken in response to any reported incident. Some research funders, including UKRI, stipulate safeguarding obligations as a condition of funding, and such responsibilities must be met. At minimum, researchers must follow the GSA Adult and Child Protection policies and apply them to their research context, but additional arrangements may also be necessary. In addition, all those involved in undertaking research at GSA should at all times adhere to the standards of behaviour defined in the Dignity and Respect at Work and Study Policy and Procedure, which states that no form of bullying, harassment, victimisation or discrimination will be tolerated.

21. Insurance

- 21.1. Researchers who are directly employed by GSA should be covered by our institutional insurance policies for public liability, employer's liability, professional indemnity and travel when they are undertaking duties related to their work. GSA's insurance may not cover staff for every eventuality, however — travel to certain countries, research in certain fields (e.g. clinical trials) or high-risk activities may be excluded, and anyone who is not a contracted member of staff (for instance, a visiting worker) could also be excluded, so researchers should liaise with colleagues in advance to ensure that their planned research will be appropriately insured. In some cases, insurers may demand evidence that a research project has been formally approved following institutional procedures before they will process a claim.

22. Due Diligence

- 22.1. Before undertaking research with collaborating organisations, researchers should consider the degree of due diligence that is necessary to provide confidence that a partner or contributor is reliable and trustworthy, with the capacity and competence to perform the required duties. The degree of risk that a partner might prove unsuitable will depend on the context, but a proportionate assessment should be undertaken when planning the research. Some funders stipulate that a rigorous due diligence process must be completed before certain types of partner can receive any allocation of grant; for example, industry partners may have to demonstrate they are eligible for specific kinds of research and development funding, while research organisations in countries with potentially less well-developed governance systems (to prevent mismanagement of funds or risks to researchers) may require increased scrutiny.

23. Obtaining Permits and Permissions

- 23.1. Researchers are responsible for: ensuring that they obtain any necessary permits, permissions or licenses to undertake research; abiding by the terms of such permissions; and keeping good records of the permissions they have been granted. For example, approval by NHS organisations may be required before undertaking research in healthcare settings. In some countries, international researchers must obtain State permits before undertaking fieldwork.

24. Trusted Research and Secure Innovation

- 24.1. All UK higher education institutes are expected to safeguard the knowledge and intellectual property they produce by preventing it from improperly being acquired and used by actors in

nations perceived to have different ethical and democratic values to our own. The guidance on 'Trusted Research' particularly applies to research fields in which GSA does not play a prominent role, but researchers must be familiar with our obligations and take them into consideration.

- 24.2. Similarly, researchers should be aware of when the results of research could have a potential 'dual use' — that is, when the intended application is benign, but the knowledge produced could also be used for malign purposes – and that relevant regulations apply.
- 24.3. In addition, researchers should be aware that some forms of technology used in research are subject to export controls (although this is not likely to apply to work undertaken at GSA).

Further Guidance and Resources

Relevant research-related policies, and further guidance and resources on these topics, are available in the [Research section of the Staff Intranet](#) .

Academic Staff and postgraduate research students can access a Research Integrity training course (provided by University of Dundee) on CANVAS: <https://canvas.gsa.ac.uk/> . Other relevant training materials to support researcher development are also provided.

The Concordat to Support Research Integrity (2019) is available from Universities UK at <https://www.universitiesuk.ac.uk/topics/research-and-innovation/concordat-support-research-integrity>

UKRI Good Research Resource Hub: <https://www.ukri.org/manage-your-award/good-research-resource-hub/>

UK Research Integrity Organisation (UKRIO) Code of Practice for Research: <https://ukrio.org/ukrio-resources/publications/code-of-practice-for-research/>

UKRIO Checklist for Researchers: <https://ukrio.org/wp-content/uploads/UKRIO-Recommended-Checklist-for-Researchers.pdf>

UKRIO Research Misconduct Reporting Checklist: <https://ukrio.org/wp-content/uploads/Misconduct-Reporting-Checklist-180523.pdf>

UKRIO Reporting Research Misconduct – When, How and to Whom: <https://ukrio.org/wp-content/uploads/Reporting-Research-Integrity-Concerns-180523.pdf>