# Code of Research Conduct and Research Ethics

## Foreword by Chair of the University Research Integrity and Research Ethics Committee

The University of Nottingham's *Code of Research Conduct and Research Ethics* establishes a comprehensive framework for ethical research conduct and governance across the University. This Code reflects our unwavering commitment to upholding the highest standards of integrity, rigor, openness and excellence in research. It sets out the requirements for all research activities to adhere to ethical, legal, and professional standards.

The Code is integral to fostering a research environment characterised by integrity, good practice, and the continuous development and training of researchers at every career stage. It delineates the responsibilities of researchers and provides a map of what the University, as a research institution, provides through policies and infrastructure that is in place to facilitate Researchers' commitment. Additionally, it promotes transparent and appropriate research engagement, communication, and dissemination of research findings.

The University is committed to the national framework for good research conduct and governance, the *Concordat to Support Research Integrity*, including the latest version published in April 2025.

This Code has been reviewed to align with the current aims of the *Concordat to Support Research Integrity* , and incorporates current national and international research ethics codes, as well as new University of Nottingham policy guidance developments, such as the new *Code of Practice on Research Data Management*, and *Code of Practice for Research Ethics Committees*.

It is imperative that all those involved in research and research-related activities at the University of Nottingham are familiar with the contents of this Code. The 'Brief Summary' of the Code emphasises aspects of research that entail risks or necessitate specific ethical, integrity, or governance considerations. This Summary highlights the content of the Code and directs individuals to additional sources of support and guidance, as specified within the full Code.

All staff and students engaged in research are expected to familiarise themselves with the Summary, the details of the Code that are relevant to their research activities and remain abreast of any updates. This enables our researchers to apply the Code in our research activities and recognise situations were further information, advice, or guidance from the full Code and other University services may be required.

The University Research Integrity and Research Ethics Committee (URIEC) reviews and updates this Code and its Brief Summary periodically every two years, ensuring its relevance and applicability. This Code is core to the University of Nottingham's research and support services activities that underpin the University's societal responsibilities and research ambitions and aspirations.

**Professor Kate Millar**

**Chair of the University Research Integrity and Research Ethics Committee**



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# A Brief Summary of The Code of Research Conduct and Research Ethics for the University of Nottingham

All staff and students engaged in research for the University of Nottingham (UoN) are expected to maintain the highest standards in ethics and integrity, and to adhere to all applicable statutes and government guidelines, as set out in the Code of Research Conduct and Research Ethics (the Code). The Code applies to all research activity conducted carried out by UoN staff or students, irrespective of how it is funded or where it is carried out. Guidance and training can be found on the Research Integrity and Ethics SharePoint pages.

## The Foundations of Good and Responsible Research Practice

The Concordat to Support Research Integrity highlights the key principles which provide trust and confidence in research and its outputs;

- honesty
- rigour
- transparency and open communication
- care and respect
- accountability

These apply to all aspects of research, including development of research aims and objectives, preparation of grant and project proposals, acquisition and analysis of data, publication and dissemination of findings, and provision of expert peer review on proposals or publications from others.

As a researcher, you should be able to exercise freedom in your academic choices (see Free Speech and Academic Freedom at the University of Nottingham), but you must:

- understand what constitutes rigour and integrity in your area of research;
- maintain the highest standards of rigour and integrity in your work at all times;
- comply with legal and professional frameworks, obligations and standards as required by statutory and regulatory authorities, employers, funders and other relevant stakeholders;
- ensure that all research is subject to active and appropriate consideration of ethical issues, including the wider impact of your research (see Responsible research & innovation);
- maintain a research environment that encourages research integrity;
- design, conduct and report research in ways that embed integrity and ethical practice;
- handle potential instances of research misconduct in an appropriate manner, acting in good faith and taking reasonable steps to ensure any recommendations made by formal research misconduct investigation panels are implemented;
- declare and act accordingly to manage conflicts of interest;
- monitor and report any adverse events occurring in the course of your research according to the process in your School (i.e. Ethics Committee, Safety Office, Data Protection Officer etc.).

## Research Misconduct

The University seeks to provide a research environment that fosters and supports honesty in research and discourages unacceptable behaviour by dealing seriously and sensitively with all allegations of research misconduct. Examples of research misconduct include fabricating data, misrepresenting data, and failing to meet ethical and legal requirements.

- University's Code of Practice on Handling Allegations of Research Misconduct

The process takes into consideration questionable research practices and honest errors which may arise due to a lack of knowledge or attention to detail and negligence.

## Ethical Considerations

The UoN's core key principles for ethical research apply to all its research:

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| Maximising benefit | Minimising harm | Respecting autonomy | Fairness and accountability | Integrity and transparency |





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The Chief/Principal Investigator is responsible for ensuring proper ethical review, but you must ensure that you are fully aware of, and comply with, the University's expectations for the ethical conduct of research, the ethical requirements of research funders, and the expectations of your research discipline and professional bodies. All the ethical implications of a research project must be considered, including the impact on:

**a.** anyone involved in or affected by the research;
**b.** welfare of animals;
**c.** cultural sensitivities;
**d.** protected species and sites;
**e.** the environment.

## Training, Supervision and Management

All new research students and staff are expected to undertake training in Research Integrity (and ethics where relevant), and it is your personal responsibility to undertake regular training to keep up to date with current good practice and statutory requirements, frameworks, standards, and obligations relevant to your field. Training should be reviewed within appraisal, training, or development conversations.

Staff must accept full responsibility for their own conduct and that of any staff, students and others under their direction or supervision. Team leaders must ensure that all researchers under their supervision/management have been suitably informed of and trained in their responsibilities under this Code and must be proactive in attempting to ensure that they undertake research in line with its provisions.

## Data

Research data is the evidence that underpins the answer to the research question. It is data collected, observed, or created by further analysis to produce original research results. Research data may also include personal data and/or commercially sensitive data.

The UoN supports data sharing as this allows independent validation and testing of data. It also ensures compliance with requirements of some publishers and funders.
All data management must adhere to relevant UoN policies and UK legislation:

- UoN Data Protection Policy
- Code of Practice on Research Data Management
- Handling Restricted Data Policy

The University provides support and guidance on creating data management plans

- UoN Research Data Management planning (see Data Management Plan Toolbox)
- Digital Research Pages

## Publications and Reports

This includes all reports on research from peer reviewed journal articles to internal interim reports or posts on social media. It is important that all research results (both novel findings and replication studies) are disseminated in an appropriate form, usually as papers in refereed journals. Academic papers can sometimes be misunderstood or misrepresented in the general media. Authors should consider how to avoid causing unnecessary distress or confusion to the general public.

The UoN supports Open Access to ensure maximum dissemination of results and the University's Open Access policies apply to all staff across all campuses.

You must acknowledge all contributors to the research (including students and technicians) in publications, by authorship or acknowledgement as appropriate to the research field. However, you should not include as authors people who have not made a substantive contribution to the research.

- 'Our Vision for Technical Talent'.

You must acknowledge all funding sources associated with the research.

## Intellectual Property

IP includes, but is not limited to, research results in the form of data, inventions, notes, records, books, papers, designs, artwork, music, software, business methods, schemes for processing and assessing information and mathematical formulae. IP Rights are the legal rights that protect IP from inappropriate use or exploitation by others. If you think your work may have some commercial value, you should contact research.innovation@nottingham.ac.uk as soon as possible for further information.

- UoN policy on Intellectual Property
- Information can be found on Research and Innovation pages here.

## Conflicts of Interest

If you have any pecuniary or non-pecuniary interests which may give rise to actual or perceived conflicts of interest in carrying out your work, then you should report them to your Head of School and the Registrar as soon as you become aware of them. The Registrar shall enter them on a register kept for this purpose.

- UoN Policy on Conflicts of Interest, Gifts and Hospitality

## Insurance

The University holds insurance policies that provide indemnity for claims against both the University and the individual. You are responsible for checking and ensuring that all aspects of your research are covered by one or more insurance policy. Details can be found on the Insurance Portfolio web page or by contacting the University Insurance Officer.

## Trusted Research

If you plan to conduct research outside of the UK or with international partners or collaborators, you must be aware of the local regulations, practices and guidelines governing that research. All local permissions must be sought and in place before the research commences.

See Trusted Research toolkit guidance;

- outlines the potential risks to UK research and innovation
- helps researchers, universities and industry partners to have confidence in international collaboration and make informed decisions around potential risks
- explains how to protect research and staff from potential theft, misuse and/or exploitation

Researchers are legally obliged to find out if their research activities need an export licence from the UK Export Control Joint Unit (ECJU) for the transfer of goods, technology, software and/or knowledge to another country. For more information see SharePoint pages on Export Controls Applying to Academic Research.

## Access to Biological Material and Benefit Sharing

The UoN is committed to compliance with Nagoya Protocol which is an international agreement that implements the access and benefit sharing obligations in the Convention on Biological Diversity. It is intended to ensure that a genetic resource (or local knowledge of it) is not exploited without reference to the country or community in which it originated.

- Nagoya Protocol Implementation Regulation (EU) No 511/2014

## Human Tissue

The collection and storage of human tissue is governed by the Human Tissue Act 2004. The UoN is licensed by the Human Tissue Authority to oversee the use of human tissues for teaching, research and training. If you want to store or use human tissue you must seek approval by the Human Tissue Research Management Group, unless you are covered by current NHS ethical approval (HRA-REC) or the samples

are processed and made acellular within 7 days of receipt. Email MS-HTA-enquiries@exmail.nottingham.ac.uk to check if your work needs to be brought under the licence.

## The Prevent Duty and Security Sensitive Research

Section 26 of the Counter-Terrorism and Border Security Act 2019 places a duty on Higher Education institutions to have "due regard to the need to prevent people from being drawn into terrorism". It is a criminal offence to obtain, possess or publish specified classes of information without a legitimate reason**.** Therefore, special measures are required for extremism-related research.

## Research involving human participants

NHS Research Ethics Committees (NHS RECs) review and give ethical opinion to all research involving the NHS patients or their data and/or the use of investigational medicinal products or devices. The Research Governance Team reviews all applications for Sponsorship prior to the submission of approvals for such ethics and regulatory approvals. More information is available on the Research Governance Team pages.

All other studies involving human participants must undergo an ethical review process, through one of University's Ethics Committees. The UoN's Code of Practice for Research Ethics Committees (CoPREC) outlines the minimum expectations for the operation of Research Ethics Review Committees in their ethical review processes.

Any research involving the use of Investigational Medicinal Products (IMPs) or medical devices will require the approval of the Medicines and Healthcare Products Regulatory Agency (MHRA). (Refer to Appendix A in the main Code for UNM procedures and processes). Standard Operating Procedures available on the RGS web page under Research Governance give instructions on how to do this.

## Research Involving Animals

Where animals are involved in the research the ethical review is carried out by the University's Animal Welfare and Ethical Review Body (AWERB) or a designated sub-Committee of the AWERB.

- UoN Policy on the Use of Animals in Research

## Health and Safety

The health, safety and wellbeing of staff, students, research participants and visitors is fundamental to good research governance. You are expected to comply with all relevant health and safety regulations, policies and guidance.

- UoN Safety pages provide policy, guidance and templates, and training
- Lone Worker Policy

## Equality, Diversity and Inclusion (EDI)

All research designs must take into consideration the effects on EDI. For instance exclusion and/or inclusion criteria should be clearly justified, particularly when considering *protected characteristics*. See EDI SharePoint pages for further details.

# Observance of the Code

The University of Nottingham requires all staff and students engaged in research to maintain the highest standards of ethics and integrity in the conduct of research. This **Code of Research Conduct and Research Ethics (**hereafter referred to as **the Code)** provides a framework for the governance of all research conducted under the auspices of the **University of Nottingham (**hereafter referred to as **the University)** and requires that all researchers adhere to the highest standards of ethical conduct, and to all applicable statutes and Government guidelines in carrying out their research.

The Code follows the principles set out in University Statutes (Section 35) and seeks to ensure that researchers have the academic freedom, within the law, to question and test received wisdom, and to put forward new ideas and opinions, controversial or unpopular, without placing themselves in jeopardy of losing their jobs or privileges.

The Code is designed to promote responsible research conduct in all stages of research and contains a framework for good research practice. The purpose of the Code is to assist all staff and students involved in research to meet legal and ethical requirements, and help prevent research misconduct, in order to facilitate high quality research.

The Code applies to all UK employees, students, visiting and Emeritus researchers, and honorary appointees, whether they are working on the University's premises or elsewhere. The Code applies to the University of Nottingham's International Campuses, University of Nottingham Ningbo China (UNNC) and University of Nottingham Malaysia (UNM) but it is understood that researchers at UNNC and UNM may be required to adhere to alternative or additional guidelines or conventions. Appendix A and Appendix B outline some of the adjustments which researchers at UNM and UNNC respectively may have to consider before commencing their research. In each section, reference is made, where applicable, to the relevant section in the appendices where protocols may differ. As a general rule, where the expected best practice differs between the UK, Malaysia and China it is expected that the research will adhere to whichever of the two sets of guidance presents the highest standards of research ethics or governance. This Code applies to collaborative research with other organisations and individuals outside of the institution who are undertaking or supervising research at or for the University.

The University's strategy set out its values (Inclusivity, Ambition, Openness, Fairness, and Respect) and expects all staff and students to follow the ethical standards set out in the Nolan Principles. Those are: selflessness, integrity, objectivity, accountability, openness, honesty and leadership. These principles underlie the University's Ethical Framework and are incorporated into this policy.

The Code applies to all research deliverables and outputs in whatever form, and to all research activity, as well as research conducted through consultancy, either conducted within or outside of the University of Nottingham and irrespective of how it is funded.

The document refers to "Schools" throughout to encompass Schools/Departments/Faculties/Centres, Institutes and Professional Service Departments, where this is appropriate.

## 1. The Context

The Code takes reference from the Concordat to Support Research Integrity and other sources such as the UK Research Integrity Office (UKRIO) Code of Practice for Research that encourage good conduct in research and help prevent research misconduct and UKRI good research practice policies and guidance.

The Code links to and operates in conjunction with other University policies and procedures that form part of contracts of employment as well as the Quality Manual. Some policies derive from Acts of Parliament, such as the Health and Safety at Work Act, Animals (Scientific Procedures) Act, Data Protection Act and the Medicines for Human Use (Clinical Trials) Regulations. Other policies derive from guidelines issued by government departments, such as the Department of Health's UK Policy Framework for Health and Social Care Research. Refer to Appendix A for the UNM context and Appendix B for UNNC context.

Many funders of research have developed their own codes of conduct and/or detailed terms and conditions of award that must also be adhered to by grant holders, their host departments, and the host institution. Some terms and conditions may require confidentiality concerning the research. In some research areas there will be other considerations to be taken into account, such as profession-specific codes of conduct or practice and the need for specific qualifications or skills accreditation. Those undertaking or supporting research are required to observe new developments in their field and to meet any requirements for good research conduct as they arise. This Code also includes reference for The Code of Practice on Handling Allegations of Research Misconduct.

The Code and its implementation are reviewed every two years, and when needed, by the **University Research Integrity and Research Ethics Committee** (hereafter referred to as **URIEC**). The reviews take into account changes and recommendations from external research funders, Acts of Parliament and other legislation. All revisions are assessed and approved by URIEC and coordinated by Research and Innovation.

The University, its staff and students, and their research collaborators all share in responsibility for promoting and embedding good practice and high standards of research integrity within our institution's research culture.

## 2. Definitions

**Adverse event:**
Any untoward or unexpected occurrence in a research participant which may not necessarily have a causal relationship with the research procedures.

**Chief Investigator** (clinical research only)**:**
The authorised health professional, whether or not they are an investigator at any particular site, who takes primary responsibility for the conduct of the trial.

**Covert Research**:
Covert methods of research involve the researcher concealing their real role and identity and information about the research being withheld. The people being studied are not fully informed about the research. There are different types of covert research and these can include concealment, misrepresentation, and camouflage.

**Informed Consent**
A study participant's willingness and voluntary undertaking of participation in a research study after having been informed of all aspects of the study that are relevant to their decision to participate. No details of the study are withheld. Informed consent is usually documented by means of a written, signed and dated consent form.

**Investigational Medicinal Product:**
A pharmaceutical form of an active ingredient or placebo being tested or used as a reference in a clinical trial, including a product with a marketing authorisation when used or assembled in a way different from the approved form or when used for an unapproved indication or when used to gain further information about an approved use.

**Principal Investigator:**
1. The authorised professional, whether or not they are an investigator at any particular site, who takes primary responsibility for the conduct of the trial.

2. For clinical research, the authorised professional at a particular site, who takes primary responsibility for the conduct of the trial at that site.

**Questionable research practices (QRPs):** QRPs refer to minor infractions or research practices, including avoidable errors, which fall short of the definition of intentional research misconduct. They may arise due to a lack of knowledge or attention to detail, negligence, or deliberate action, and may occur where there is no evident intention to deceive.

**Research/Research Project:**
for the purpose of this code, means a discrete endeavour to answer a research question or a set of research questions (regardless of whether funding is assigned to it or not). This does not include activities aimed for services improvements/provisions, or stakeholder/user involvement activity feeding into research project designs, unless there is an intended academic gain such as publishing a paper and/or report, or presenting findings on academic platforms such as conferences..

**Researchers:**
Following the UK Research Integrity Office (UKRIO) Code of practice for research (2009), 'researchers' are defined as any people who conduct research, including but not limited to: as an employee; as an independent contractor or consultant; as a research student; as a visiting or emeritus member of staff; or as a member of staff on a joint clinical or honorary contract.

**Research Ethics:**

The moral principles guiding research, from its inception through to completion and publication of results and beyond – for example, the curation of data and physical samples after the research has been published.

**Research Ethics Committee (REC):**
A multidisciplinary, independent, body charged with reviewing research involving human participants to ensure that their dignity, rights and welfare are protected. The independence of a REC is founded on its membership, on strict rules regarding conflict of interests, and on regular monitoring of and accountability for its decisions.

**Research Sponsor:**
An individual, company, institution, or organization which takes responsibility for the initiation, management and financing (or arranging the financing) of clinical and social care research.

**Research Participants:**
i) Individuals (humans or non-human animals) who are the recipients of the research interventions or procedures.

ii) 'Human participants' are defined as including living human beings, human beings who have recently died (cadavers, human remains and body parts), embryos and foetuses, human tissue and bodily fluids, and human data and records (such as, but not restricted to medical, genetic, financial, personnel, criminal or administrative records and test results including scholastic achievements).

The World Health Organization Manual (Section XV.2) defines research with human subjects as 'any social science, biomedical, behavioural, or epidemiological activity that entails systematic collection or analysis of data with the intent to generate new knowledge, in which human beings:
a) are exposed to manipulation, intervention, observation, or other interaction with investigators either directly or through alteration of their environment, or
b) become individually identifiable through investigator's collection, preparation, or use of biological material or medical or other records.'
The term 'research participant' should also be taken to include any members of the research team or colleagues who volunteer to be subjects of the research.

**Research Integrity:**
There is no universal definition of research integrity. The University defines it as the professional commitment to conduct all research according to the appropriate legal, ethical and professional frameworks, obligations and standards. There are five core elements of research integrity: honesty, rigour, transparency and open communication, care and respect, and accountability.

# 3. Research Conduct

## a. Foundations of Responsible Research Practice

Everyone involved in research in the University owes a duty of accountability and care to society, to their profession, to the University, to all participants in the research and to their funders as well as a duty of care to themselves. Staff must accept full responsibility for their

own conduct of their research and the activities of all staff, students and others under their direction or supervision.

### The UK Committee on Research Integrity (UKCORI)

Is an independent committee established by the UK Government and hosted by UK Research and Innovation (UKRI) to promote and drive research integrity across the UK research system. It works with various organisations and groups to ensure the quality and trustworthiness of research. Its key responsibilities are to promote and drive research integrity in the UK, enhance and protect the quality of research, and safeguard confidence in research.

The 'The Concordat to Support Research Integrity' (hereafter referred to as the **Concordat**), hosted by UKCORI, core elements of are the values from which trust and confidence in research stem, and from which the value and benefits of research flow. They apply to all aspects of research, including the development of research aims and objectives, the preparation and submission of grant and project proposals, the acquisition and analysis of data, the publication and dissemination of findings and the provision of expert review on the proposals or publications of others.

The core elements are:

- **Honesty** is crucial, from the presentation of research ideas and goals, through to authorship and financial contributions, and on to findings. Examples include honesty in: reporting research methods and procedures; gathering data and information; referencing work; representing and acknowledging the work of others; conveying interpretations; and making justifiable claims based on research findings.

- **Rigour** is demonstrated by behaviour that is in line with prevailing disciplinary norms and standards, including the use of appropriate methods. It may be evidenced through adherence to procedures, standards of practice and agreed protocols, as appropriate, and is expected when drawing interpretations and conclusions from research, including when communicating findings. The integrity of the research record should be protected through secure and rigorous approaches.

- **Transparency and open communication** provide the foundation for the actions taken when conducting or communicating about research. Examples may include: declaring potential competing interests; reporting research data collection methods; acknowledging the use of tools such as emerging technologies; analysing and interpreting data; and publishing or otherwise sharing findings. This may include appropriate open research practices. It permits humility in the process, acknowledging errors committed in good faith and ensuring honest mistakes are seen as productive elements of research.

  **Care and respect** are expected for everyone and everything involved in the research system, and for the protection of the integrity of the research record. They should be extended to everyone involved in the research process, 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.
- **Accountability** is expected of everyone individually and collectively to create a research environment in which diverse individuals and organisations are empowered and enabled to own the research process and be accountable for their contributions to the research record. This includes being accountable to participants involved in

research, and a responsibility to hold individuals and organisations to account when behaviour falls short of the standards set by the Concordat.

## b. Responsibilities

Researchers must be able to exercise freedom in their academic choices and must also accept responsibility for the decisions that they make. Thus, the primary responsibility for ensuring that they act in accordance with these principles in all aspects of their research work, including peer review, lies with the individual researcher.

The Concordat has five main commitments:

- Commitment 1: Maintaining the highest standards of research integrity – the principles
- Commitment 2: Maintaining the highest standards of research integrity – expectations and compliance
- Commitment 3: Embedding a culture of research integrity
- Commitment 4: Questionable research practices and potential research misconduct
- Commitment 5: Accountability and continuous improvement in research integrity

### Researchers are responsible for:

- **Commitments 1 and 2**:
    - understanding and maintaining the expected standards of integrity relevant to their research throughout the research cycle
    - being open and transparent about their research methodologies, and honest when errors are made
    - complying with ethical, legal, regulatory and professional frameworks, obligations and standards as required by statutory and regulatory authorities, and by employers, funders and other relevant stakeholders
    - ensuring that all their research is subject to ongoing, active and appropriate consideration of ethical issues
    - maintaining trust in research, including by reporting any concerns of research misconduct
- **Commitment 3**:
    - keeping their knowledge up to date on research integrity principles and how their responsibilities may evolve at different stages of their career
    - designing, conducting, and reporting research in ways that embed integrity and ethical practice throughout
    - collaborating with others to build and maintain research environments that encourage research integrity, including seeking support from those in leadership and supervisory roles, as needed, to resolve issues
    - adhering to and promoting standards of research integrity when working with partners

- **Commitment 4**:
    - honesty when reporting any concerns about potential breaches of integrity and declaring conflicts of interest
    - supporting and participating in any investigation, its management and implementation of any recommendations, as required
- **Commitment 5**:
    - upholding trust and confidence in research in the UK through the work they undertake, host, fund, partner or collaborate on, support, and disseminate
    - finding opportunities to implement, reward, and share ideas, good practice, and learning experiences inside and outside their own organisation

### c. Training

An awareness and knowledge of research integrity contributes to the quality and excellence of research and helps to protect individual researchers, research participants and the research organisation. The training needs of researchers at all career stages should be considered to ensure that research project management skills reflect best practice in the sector. These should be discussed within the appraisal and development conversations process for staff or training plans for students.

URIEC requires all staff involved in research to undertake Research Integrity Training on regular bases to refresh their knowledge of developments in their field and the wider research integrity landscape. The University provides online Research Integrity Training, designed to strengthen researchers' awareness of their own responsibilities and accountability and provides guidance on what to do should things go wrong.

It is a requirement that all doctoral students and new staff involved in research to undertake training in Research Integrity.

It is  personal responsibility to undertake the required training in current good practice and the statutory requirements relevant to their field.

## 4. Data

Research data is the evidence that underpins the answer to the research question. It is data collected, observed, or created by further analysis to produce original research results. Research data may also include personal data and/or commercially sensitive data.

The University recognises research data as a valuable institutional asset and acknowledges the role that good research data management (RDM) can play in underpinning and realising its vision to be recognised globally for the quality of its research.

The University implements policies, procedures and provides guidance on good RDM practices, to support and sustain programmes of excellence and ethical research.

Policies and procedures include:

- UoN Data Protection Policy
- Code of Practice on Research Data Management
- Handling Restricted Data Policy

(Refer to Appendix A for UNM guidance and Appendix B for UNNC guidance).

### 4.1 Principles

Effective RDM is crucial for good research conduct and contributes to research excellence. The University aligns with principles from the Concordat on Open Research , UKRI, FAIR, and the Sorbonne declaration.

Each research data asset must have an owner (PI/Lead Researcher) responsible for its management. Contractual and funding conditions take precedence, and the University asserts rights to data generated using its resources.

### 4.2 Roles and Responsibilities

*PI/Lead Researcher:* Are data asset owners, while students are data stewards. Responsibilities include ensuring data management, compliance with policies, and proper data handover if the PI/Lead Researcher leaves the institution.

*Professional Services and Support Functions:* Provide guidance and training on RDM, maintain data repositories, and ensure data protection and security.

### 4.3 Process and Procedure

*RDM Planning:* A Data Management Plan (DMP) must be created before data collection, reviewed and updated throughout the project, and comply with funder requirements. If personal data is involved, a Data Protection Impact Assessment (DPIA) may be required.

*Working with Research Data:* Data must conform to licenses, stored securely, and accompanied with adequate metadata. Data must be transferred to a managed environment as soon as possible.

*Archiving Research Data:* Data must be deposited in a repository upon project completion, ensuring it is accompanied by necessary metadata and retained as per retention requirements. Exclusive rights to data should not be transferred to external parties without commitment to access and availability.

*Deletion and Destruction:* Data must be securely deleted when no longer needed, following University policies and maintaining records of deletion. Also, ensuring restricted data is destroyed securely, and data storage media is wiped and/or destroyed.

*Publishing and Sharing Research Data:* PI/Lead Researchers must make data discoverable and shareable with minimal restrictions, ensuring compliance with legal and ethical standards. Assigning persistent identifiers like DOIs and including data access statements in published outputs.

The University supports Open Access to ensure maximum dissemination of results and the University's Open Access policies apply to all staff across all campuses.

### 4.4 Non-Compliance Monitoring, Reporting, and Governance

Non-compliance with the Code can lead to disciplinary actions. The Research Data Management Assurance Group (RDMAG) oversees compliance, measures key control areas, and reports to relevant University committees. Monitoring includes training session

attendance, DMPs review, DPIA completion, and assessing compliance with contractual agreements.

### 4.5 Governance and Reporting

Governance ensures high-quality research data management with clear responsibilities and processes. The RDMAG reports to the Assurance Committee, Information Management Security Steering Committee (IMSSC), and the Research and Knowledge Exchange Committee, ensuring regular updates and compliance.

## 5. Publications and Authorship

**5.1.** All forms of dissemination, whether through publications, websites, e-bulletins, press releases, media briefings, or events should be undertaken with the core principles of openness, transparency and accountability.

Publications include reports and technical reports related to a programme of research (including internally and externally funded research), even where these have a limited circulation and have been prepared to report on progress of the research.

Researchers are encouraged to disseminate their research and research findings in an appropriate form, usually as peer-reviewed journal articles. Publication and wider dissemination of research and research findings must be carried out responsibly and with an awareness of the consequences of dissemination in the wider media.

**5.1.1.** Decisions on publication and authorship should be agreed jointly and communicated to all members of the research team, and ideally this should be discussed before the publication is written.

**5.1.2.** Everyone who fulfils the criteria for authorship should be included as author of submitted work. 'Team science' is becoming increasingly common with research teams spanning different specialties and locations. Therefore, the contributions of all members of the research team must be properly recognised. This could include students, data scientists, data engineers, archivists, informaticians, statisticians, software developers, audio-visual technologists, technical professional staff and individuals staffing core facilities, across all disciplines. The UoN was a founding signatory of the Technical Commitment.

**5.1.3.** Authorship should be restricted to those who have made a significant intellectual or practical contribution to the work. Authorship should not be allocated to "guest" or "gift" authors.

**5.1.4.** Contributions of those who do not meet the criteria for authorship should be listed in the acknowledgements section (with their permission).

**5.1.5.** Data sourced from third parties, facilitation to access data, use of equipment or samples must be acknowledged.

**5.1.6.** Anyone listed as an author of any work should be prepared to take public responsibility for that work and ensure its accuracy, and be able to identify their contribution to it.

**5.1.7.** All funders and sponsors of research should be clearly acknowledged, and any competing interests listed. Researchers should be aware that their funder may want to be notified in advance of paper submission, publication or other dissemination.

**5.1.8.** Individuals who are or have been the participant of the research should not be identified or identifiable in any publication, unless they have explicitly consented to have their identity revealed.

**5.1.9.** Submitting research reports to more than one potential publisher at any given time (i.e. duplicate submission) or publishing findings in more than one publication without disclosure and appropriate acknowledgement of any previous publications (i.e. duplicate publication) is unacceptable.

**5.1.10.** A publication which is relates to other publications derived from the same research must contain appropriate reference to the other publications.

(Refer to Appendix A for UNM guidance and Appendix B for UNNC guidance).

### 5.2. Open Access Publishing

The University's Open Access policies apply to all members of staff employed by the University at all campuses

All research papers (including journal articles, conference proceedings, book chapters and similar material), where copyright allows, should be made available in an open access form upon publication.

All academic staff are required to make their research outputs open access wherever possible through the University repository (RIS):

- All research papers including journal articles, conference proceedings, book chapters and similar material, either in the form of the author's final manuscript or the formally-published version, where copyright allows, should be deposited in RIS upon acceptance for publication or as soon as possible thereafter.
- Where it is not possible to deposit an open access version of the full-text of the paper, a record of the publication should be created in the repository with a link to an externally held version.
- Where external funding is available to meet the costs of open access article processing charges (APCs), researchers should take advantage of opportunities to publish their work with immediate open access upon publication.

(Refer to Appendix A for UNM guidance and Appendix B for UNNC guidance).

Researchers with work funded by UKRI or certain health charities can apply for funding of Article Processing Charges against a block grant administered by the University. For further details please see University and funder open access policies.

## 6. Intellectual Property

The University has specific policies arising from Intellectual Policy and these must be adhered to.

### 6.1. Intellectual Property (IP) and Intellectual Property Rights (IPR)

IP is defined as: "The products of creative effort". It includes, but is not limited to, the results of research in the form of data, inventions, notes, records, books, papers, designs, artwork, music, software, business methods, schemes for processing and assessing information and mathematical formulae. IP Rights are the legal rights that protect IP from inappropriate use or exploitation by others. The forms of IPR are limited and in the UK consist of the following:

- Patents
- Copyright
- Database rights (form of copyright)
- Registered and unregistered design rights
- Plant breeders' rights
- Registered and unregistered trademarks

### 6.2. Intellectual Property Ownership and the University

IP generated by University employees belongs to the University if it was made in the course of normal duties or during circumstances where an invention might reasonably be expected to take place. Unfettered IP (not owned by a third party) generated by students belongs to the student. If the inventorship is shared with a member of staff and the University elects to protect the IP, the University will request the student to assign their rights to the University. If you believe that you have generated IP during the course of your research, you should contact the IP Office who will send an IP assessor to take details of the IP or 'disclosure'. The University will assess the IP and determine whether or not to protect and commercialise the IP. If the University elects not to proceed it will assign its rights to the inventor(s). Full details of the University's policies on and procedures for IP and IPR can be found on Research and Innovation Pages here.

Refer to Appendix A for UNM guidance and Appendix B for UNNC guidance on intellectual property.

## 7. Supervision and Leadership

Schools must adopt guidelines for the supervision of research undertaken by staff and students in accordance with requirements prescribed from time to time by the Senate and as specified in the Quality Manual for Staff and Students. The workload of all staff carrying out research shall be considered and moderated by research team leaders, Chief/Principal Investigators and Directors of Research or Heads of Schools as appropriate.

**The University, research staff, particularly team leaders, supervisors and Chief/Principal Investigators**, must take responsibility for ensuring that all researchers under their supervision/management have been suitably informed and trained of their responsibilities under this Code and that they undertake research in line with its provisions. They must take responsibility for:

a) The ethical basis and design of their research projects. Researchers must ensure that research projects are ethically sound and have received the Favourable Ethical

Opinion (FEO) of the relevant REC and all relevant statutory regulatory authorities have approved before they commence;

b) The safety of all those involved in the research process, ensuring that the research is carried out in accordance with health and safety policies and legislative requirements;
c) Ensuring that research is conducted in a suitable working environment with appropriate equipment and facilities;
d) The probity of the financial management of research projects, and the timely delivery of any scheduled tangible outcomes;
e) Management of research data in accordance with funder requirements and in compliance with the Data Protection Act 2018, the University Code of Practice on Research Data Management, and any other legal provisions, conditions and guidelines that may apply to the handling of personal information (Refer to Appendix A for UNM guidance and Appendix B for UNNC guidance);
f) Undertaking sufficient professional development appropriate to the research;
g) Ensuring that all records of research progress, including authorised laboratory books, are maintained to the recommended or required standards, and ensuring that the falsification of results does not occur.
h) Ensuring confidentiality in order to achieve protection of intellectual property rights where appropriate;
i) Ensuring that research findings are suitably disseminated and as agreed with the funder;
j) Ensuring voluntary participation and informed consent of research participants, free from any coercion. It is recognised that even retrospectively this may not be possible for some types of covert research.
k) Avoiding harm to participants and minimising the potential for any adverse effects that the research may have on people, animals and the natural environment and property.

## 8. Funder Requirements

Guidelines for the project management, costing and pricing and authorisation of research proposals with external funders can be found on the University's Research and Innovation.

All research grant applications and commercial research contracts whose Principal or Chief Investigator is employed by the University must be approved by the relevant authoriser and the Head of School or equivalent unit (see Application and approvals pages) (Refer to Appendix A for UNM guidance). Researchers have a responsibility to read the terms and conditions of funders and contractors before signing grant applications to ensure that they understand the implications of those terms and that they agree to and accept them as a basis for that research.

Where research is funded by more than one funding body or contractor, researchers have a responsibility to read the terms and conditions of the different funding bodies to ensure they understand and agree to the terms and to ensure there is no conflict between the terms and conditions of the different funding bodies.

## 9. Conflicts of Interest

Conflicts of interest may occur where researchers have an affiliation or financial involvement (including direct financial interest, provision of benefits and provision of material or facilities) with more than one organisation sponsoring or providing financial support for research. It also includes situations where the researcher's judgement or action could, or be perceived

to, be impaired by a secondary interest such as when reviewing grant applications, publications or career progression (including interviews/examinations) and when acting as a co-supervisor or co-investigator with an individual where there is either a close or acrimonious relationship.

The University has a Policy on External Work undertaken by those on Research and Teaching contracts (R&T 4a-7), Clinical Academics, Fertility Nursing Services, Administrative, Professional and Managerial staff (APM4-7), and Technical Services (TS 4&5). This policy states that external work, whether or not remunerated, has to be regulated in order to ensure that either it does not create a conflict of interest or, if necessary, it has received formal sanction from the University. The policy sets out cases where permission to carry out external work is automatic, procedures by which permission may be sought in other cases, and the consideration that will be taken into account when it is decided whether permission shall be granted.

The University policy on Conflicts of Interest, Gifts and Hospitality states that if members of staff have any third party pecuniary or non-pecuniary interests which may give rise to conflicts of interest in carrying out their University duties, they should report them to their Head of School and to the Registrar. The Registrar shall enter them on a register kept for this purpose.

Researchers must identify, openly declare and address all real or potential conflicts of interest at all stages of their research project, as soon as they become aware of them, in order to avoid poor practice in research or potential misconduct.

Where there is a potential Conflict of Interest in research that falls outside the areas covered by the above policies, this must be discussed with the relevant Head of School, Associate Faculty Pro-Vice Chancellor (AFPVC) or FPVC at the earliest opportunity. The FPVC and/or AFPVC may refer or confer any potential conflicts of interest to/with the Director of Research and Innovation and/or the Pro-Vice Chancellor Research and Knowledge Exchange. Refer to Appendix A for how this applies to UNM and Appendix B for how this applies at UNNC.

When addressing a conflict of interest, it must be decided whether it is of a type and severity that poses a risk of compromising the validity or integrity of the research, in which case researchers should not proceed with the research, or whether it can be adequately addressed through declarations and/or special safeguards relating to the conduct and reporting of the research.

For further example see UK Research and Innovation's (UKRI) webpage and policy on conflicts of interest.

## 10. Adverse Events

Researchers are responsible for monitoring and reporting any adverse events occurring in the course of the research and each School must have systems in place to ensure that all such adverse events are recorded and, if appropriate, investigated.

Adverse events can be defined as untoward events in the research process that could potentially compromise the safety of researchers, research participants, or the integrity of the

research, breach the regulations or the conditions of the favourable ethical opinion or the approval for the study.

For clinical/medical research, where Health Research Authority approval has been sought and received a favourable ethical opinion from NHS Research Ethics Committee, standard Operating Procedures available on the Research Governance Pages give instructions on how to meet these reporting requirements. Refer to Appendix A for variations in application on the UNM campus.

## 11. Insurance

The University holds insurance policies that provide indemnity for claims against both the University and the individual for:

**11.1.** Property and business interruption;
**11.2.** Employers liability: this covers for claims made for death, injury or disease to any person arising out of and in the course of their employment;
**11.3.** Public liability: this provides indemnity in respect of claims made for death, injury or disease to persons other than employees or loss or damage to third party property arising out of and during the course of the business;
**11.4.** Professional indemnity: this provides indemnity in respect of legal liability to third parties for breach of professional duty due to negligent act, error or omission in connection with your business; and
**11.5.** Clinical trials: this provides indemnity against legal liability for damages in respect of accidental injury of any research participant arising out of the business of conducting clinical trials

Each separate policy carries specific inclusions and exclusions. The Employer's Product and Public Liability policy extends world-wide. All the other policies are limited to Great Britain (England, Scotland, and Wales), Northern Ireland, the Channel Islands and the Isle of Man. Researchers are responsible for checking and ensuring that all aspects of their research are covered by one or more insurance policy.
Details can be found on the Insurance Portfolio web page or by contacting the University Insurance Officer at **insurance@nottingham.ac.uk**.
Refer to Appendix A for details of the UNM policy.

## 12. International Research

When proposing to conduct research overseas or dealing with international collaborators and partners, researchers from the University of Nottingham UK campus have a responsibility to inform themselves and be aware of the regulations, local practices and guidelines governing that research within individual countries. (Refer to Appendix A for UNM guidance and Appendix B for UNNC guidance). **All local permissions where the research is to be conducted must be sought and in place before the research commences**.

Many research collaborations of two or more institutions may be subject to more than one ethical review procedures. The lead researcher/s should establish the requirements of each institution involved and whether a favourable ethical opinion by one institution is sufficient for the others involved. This also applies where there are sub-projects/studies within a programme of research, whereby each sub-study may require separate ethical review. It is

essential for researchers to establish both local ethical and legal requirements in addition to the University's requirements.

The University Insurance Officer must be informed of the proposed research activity so that any insurance issues can be clarified and resolved before the research starts. (Refer to Appendix A for variations to this guidance for UNM research). Special consideration should be given to the transfer of human or animal tissues and data sharing between countries. Laws and practices of all countries involved in the research must be adhered to simultaneously.

Any medical research that is proposed to be conducted overseas must firstly be discussed with the Research Governance Team (Refer to Appendix A for UNM guidance). The University does not carry insurance for medical research conducted overseas and there are special arrangements for such research that must be in place before it can go ahead. The ethical opinion sought from the National Research Ethics Service (NRES) through the UK Health Research Authority is not applicable overseas. All local regulations and customary practices must be adhered to in each country proposed to take part in the research.

Similarly, UK based researchers are responsible for ensuring that, in any international research collaborations, the conduct of the research being undertaken in the UK abides to applicable UK law. Any conflict with other collaborating countries' laws and practices must be resolved before the research starts (Refer to Appendix A for UNM guidance and Appendix B for UNNC guidance).

Researchers should refer to country-specific guidelines for the location where research is being carried out where possible. The International Compilation of Human Research Standards is a listing by the US Department of Health and Human Services of over 1,000 laws, regulations, and guidelines (including ethics committees) on human participants' protection in over 100 countries and from several international organisations. Details of country-specific requirements and how these are met should be included in the ethics application and study documentation.

### 12.4. Trusted Research

Trusted Research and Knowledge Exchange is concerned with security in international collaboration and ensuring your research and knowledge exchange activities are fully protected and compliant with National Security requirements (e.g. National Security and Investment Act 2021 and the Foreign Influence Registration Scheme 2025).

Trusted Research is applicable to anyone who has international collaborations but is particularly relevant to researchers in STEM subjects, dual-use technologies, emerging technologies and commercially sensitive research areas.
Researchers should be aware of and apply the UK Government's National Cyber Security Centre guidance on "**Trusted Research**" which sets out how to identify risks and protect research data in the UK's research and innovation sector. It was developed with aims to support the integrity of the system of international research collaboration, which is vital to the continued success of the UK's research and innovation sector.

**Compliance with Trusted Research:**

- Allows the identification and management of potential risks to your Research/ Knowledge Exchange activities
- Helps researchers, UK universities and industry partners to have confidence in international collaboration and make informed decisions around those potential risks
- Explains how to protect research and staff from potential theft, misuse or exploitation

See SharePoint pages for Trusted Research Toolkit and available support.

### 12.2. Export Controls

'Export' means the physical removal of goods or the transfer (by any means) of technology or software and/or knowledge from the UK to a destination outside the UK, incl. via email, fax, video-conferences and shared data environments. Technology means 'specific information' necessary for the 'development', 'production' or 'use' of goods or software that is not in the public domain.

Export Control involves regulation of cross border transfers of certain types of goods, technology and information. Export controls apply to controlled items such as military equipment, so called “dual-use goods” and to the technology related to them.

As a researcher you must understand how to comply with any export licences that apply to the projects you are working on. Failure to comply with this law can result in fines, legal costs or prison sentences of up to 10 years. The Export Control Joint Unit can, and will, hold individuals accountable.

As a Principal Investigator you are responsible for:

- understanding whether export control applies to any aspect of your project and whether you require a licence.
- ensuring that you have necessary licences and are complying with export controls.
- checking that all members of your research team understand and are complying with the conditions of export licences throughout your project.
- keeping adequate records of what you have done, and where materials and information are located.
- helping to prevent suspected illicit transfers.

Researchers need to check whether their work, technology, equipment, materials, software or know-how is on any of the UK Strategic Control Lists.

For further information and guidance see SharePoint pages on Export Controls Applying to Academic Research.

### 12.4. Access to Biological Material and Benefit Sharing

The University of Nottingham is committed to compliance with the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilisation to the Convention on Biological Diversity and the EU’s Nagoya Protocol Implementation Regulation (Regulation (EU) No 511/2014).

The Nagoya Protocol is an international agreement that implements the access and benefit sharing (ABS) obligations of the Convention on Biological Diversity. It is

intended to ensure that a genetic resource (or local knowledge about it) is not exploited without reference to the country or community in which it originated.

Researchers who source or use resources in scope of the Protocol are required to ensure that genetic resources, and traditional knowledge associated with those resources, have been accessed in accordance with applicable access and benefit sharing laws implemented by the source country. For further details please see SharePoint pages.

Refer to Appendix A for UNM guidance on the Nagoya Protocol.

### 12.5. The Prevent Duty and Security Sensitive Research Data

Section 26 of the Counter-Terrorism and Border Security Act 2019 (the Act) places a duty on certain bodies (specified authorities) in the exercise of their functions, to have "due regard to the need to prevent people from being drawn into terrorism" and obtaining or viewing material over the internet. Higher Education organisations are a specified authority and therefore have an obligation under the Prevent Duty. In particular, the Prevent Duty Guidance states that "To enable the university to identify and address issues where online materials are accessed for non-research purposes, we would expect to see clear policies and procedures for students and staff working on sensitive or extremism-related research". The University's existing ethical review procedures and checklists are designed to identify and effectively review this type of research. Further guidance can be found in the Policy for Ethical Review and Frequently Asked Questions.

## 13. Human Tissue in Research

In the UK, the collection and storage of human tissue is governed by the Human Tissue Act 2004. The University of Nottingham is licensed by the Human Tissue Authority for oversight of the use of human tissues for teaching, research and anatomical training. Individuals wanting to store or use human tissue must seek approval from the Human Tissue Research Management Group HTRMG designated individual. Please email MS-HTA-enquiries@exmail.nottingham.ac.uk to check if your work or holdings needs to be brought under the licence.

## 14. Health and Safety

The health, safety and wellbeing of staff, students, research participants and visitors is vitally important. Health and safety have a vital role in supporting and enabling world leading teaching and research.

In order to achieve this, the University ensures an effective management of risks by setting, implementing and continually improving health and safety management systems.
University policies establish standards and expectations for health and safety across the organisation and set the minimum standards expected. In some instances, it may be appropriate to provide a set of Local Rules for a particular laboratory or suite of laboratories or individual research projects where a less common hazard is encountered, or highly specialised work carried out. The Safety Office should be consulted to examine drafts and advise on these documents (bb-safety-office@exmail.nottingham.ac.uk).

The Universities and Colleges Employers Association and the Universities Safety and Health Association have worked with the Institution of Occupational Safety and Health, the Medical Research Council and others to produce useful guidance that covers a wide range of research fields.
The guide (Responsible research: managing health and safety in research) aims to help anyone who needs to ensure good health and safety performance in a research environment. It provides heads of department, principal investigators and researchers with:

- examples of responsibilities and management approaches
- advice on safety culture and risk assessment
- case studies showing key issues that need to be considered.

Researchers are expected to comply with all health and safety regulations, policies and guidance relevant to their work. It is important to also recognise that some of these policies are derived from legislation and conform to legal and standards requirements. The University's Health and Safety pages provide policy, guidance and templates, in addition to training for all staff and students to help meet their needs.

### 14.1. Lone Working

Where research involves lone working or contact with research participants outside of the University premises the University Policy and Guidance on Lone Working should be adhered to. It is expected that all research activities, including lone working, are risk assessed prior to commencement. Particular consideration should be given to lone working where there are vulnerable populations of research participants involved (such as children or adults with a mental incapacity).

## 15. Equality, Diversity and Inclusion (EDI)

The University's goal for EDI is to ensure students and staff feel comfortable, safe, included and supported to be their very best in all that they do; that the University is the best it can be, with a high performing and diverse staff and student community; and that all students and staff visibly contribute to the values of the University and its wider impact.

The University will solve problems and improve lives through education, research and knowledge exchange of the highest quality and create an inclusive environment in which students and staff are treated solely on the basis of their merits, regardless of any *protected characteristics*. The Equality Act 2010 defines these as: age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex, and sexual orientation. Our duty under the Equality Act 2010 to eliminate unlawful discrimination, harassment and victimisation, advance equality of opportunity and foster good relations in everything it does, including research.

UKRI expect those in receipt of Research Council funding to:

- promote and lead cultural change in relation to equalities and diversity
- engage staff at all levels with improving the promotion of equality and diversity
- ensure all members of the research workforce are trained and supported to address disincentives and indirect obstacles to recruitment, retention and progression in research careers

- provide evidence of ways in which equality and diversity issues are managed at both an institutional and department level

It is important for research designs to take into consideration the implications on EDI aspects. Research participants' exclusions and/or exclusion criteria should be ethically assessed and clearly justified in particular when touching on *protected characteristics*. See EDI SharePoint pages for further details.

## 16. Research Misconduct

The University of Nottingham is committed to maintaining the highest standards of integrity, rigor and excellence in all aspects of our research and for all research to be conducted according to the appropriate ethical, legal and professional frameworks and standards.

Research misconduct is a serious matter, and those responsible for staff and postgraduate research students conducting research have a duty to ensure that those new to research or to the University receive appropriate training in the ethical, legal and other conventions concerning the conduct of their research.
The University seeks to provide a research environment that fosters and supports honesty in research and discourages unacceptable behaviour by dealing seriously and sensitively with all allegations of research misconduct.

In most instances, concerns about the conduct of research are likely to be resolved informally without the need for a formal process being initiated. Concerns about the conduct of research can be raised by a participant in the research, a student or member of staff, or a member of the public. Research and Innovation will act in an advisory and support capacity to assist the process in cases of potential Research Misconduct.

In line with the Concordat to Support Research Integrity, "*Research misconduct is characterised as behaviours or actions that fall short of the standards of ethics, research and scholarship required to ensure that the integrity of research is upheld. It can cause harm to people and the environment, wastes resources, undermines the research record and damages the credibility of research*". This definition aligns with the principles of "*The Singapore Statement on Research Integrity*".

The latest version of the Concordat introduced a new definition for Questionable Research Practices (QRPs). *QRPs refer to minor infractions or research practices, including avoidable errors, which fall short of the definition of intentional research misconduct. They may arise due to a lack of knowledge or attention to detail, negligence, or deliberate action, and may occur where there is no evident intention to deceive*. The Code of Practice on Handling Allegation of Research Misconduct already accommodates poor practices and honest errors as part of the process.

The University recognises that academic freedom is fundamental to the production of excellent research. Therefore, the responsibility for ensuring that no misconduct occurs rests primarily with the individual researcher.

**Research misconduct can take many forms, including:**

- **fabrication**: making up results, other outputs (for example, artefacts) or aspects of research, including documentation and participant consent, and presenting and/or recording them as if they were real

- **falsification**: inappropriately manipulating and/or selecting research processes, materials, equipment, data, imagery and/or consents

- **plagiarism**: using other people's ideas, intellectual property or work (written or otherwise) without acknowledgement or permission

- **failure to meet**: legal, ethical and professional obligations, for example:

  a) not observing legal, ethical and other requirements for human research participants, animal subjects, or human organs or tissue used in research, or for the protection of the environment
  b) breach of duty of care for humans or animals involved in research whether deliberately, recklessly or by gross negligence, including failure to obtain appropriate informed consent where relevant.
  c) misuse of personal data, including inappropriate disclosures of the identity of research participants and other breaches of confidentiality
  d) improper conduct in peer review of research proposals, results or manuscripts submitted for publication. This includes failure to disclose conflicts of interest; inadequate disclosure of clearly limited competence; misappropriation of the content of material; and breach of confidentiality or abuse of material provided in confidence for the purposes of peer review

- **misrepresentation of**:
  a) data, including suppression of relevant results/data or knowingly, recklessly or by gross negligence presenting a flawed interpretation of data
  b) involvement, including inappropriate claims to authorship or attribution of work and denial of authorship/attribution to persons who have made an appropriate contribution
  c) interests, including failure to declare competing interests of researchers or funders of a study
  d) qualifications, experience and/or credentials
  e) publication history, through undisclosed duplication of publication, including undisclosed duplicate submission of manuscripts for publication

- **Improper dealing with allegations of misconduct**: failing to address possible infringements, such as attempts to cover up misconduct and reprisals against the complainant, or failing to adhere appropriately to agreed procedures in the investigation of alleged research misconduct accepted as a condition of funding.

16.4. **Honest errors and differences of opinion** in, for example, research methodology or interpretations do not constitute research misconduct. Misconduct does not include honest errors and differences of opinion related to the design, execution, interpretation or judgement in evaluating research methods or result.

16.4. Allegations of misconduct in research will be judged by the standards prevailing at the time that the behaviour under investigation occurred.

16.4. Allegations of research misconduct will be referred to the employing or degree awarding institution at the time the alleged misconduct took place.

16.4. For further information please see the University's Code of Practice on Handling Allegations of Research Misconduct. It also applies to UNM and UNNC (Refer to Appendix A for UNM guidance and Appendix B for UNNC guidance).

## 17. Research Ethics

The University of Nottingham's core key principles for ethical research will apply to all its research.

1. Maximising Benefit
2. Minimising Harm
3. Respecting Autonomy
4. Fairness and Accountability
5. Integrity and Transparency

New situations constantly emerge in the research arena which may require creative approaches to the ethical challenges they pose.
Researchers are responsible for ensuring that their research is conducted to the highest ethical standards. Researchers must ensure that they are fully aware of, and comply with, the University's expectations for the ethical conduct of research and the ethical requirements of research funders, professional bodies and/or the expectations of their research discipline.

All the ethical implications of a research project must be considered, including the impact on:

- all those involved in the research;
- those who may be affected by it;
- the welfare of animals;
- cultural sensitivities;
- protected species and sites;
- and the environment.

Researchers must consider their own safety and wellbeing and comply with all relevant University policies and guidance, including the Lone Worker Policy.

### 17.1. Research Ethics Review Committees

The University of Nottingham operates a devolved structure for ethical review, reflecting the diverse nature of research across the University. The University of Nottingham has a dedicated Code of Practice for Research Ethics Review Committees (CoPREC) which outlines the minimum expectations for the operation of Research Ethics Review Committees in their ethical review processes and specific guidance on the operation of School, Department or Faculty Research Ethics Review and associated processes, including review criteria. Whilst this Code outlines the guiding principles for conducting research, the Code of Practice for Research Ethics Review Committees provides guidance on the processes and procedures to follow in research ethical review.

The National Health Service (NHS) was the first public body in the UK to give effect to these principles. The operation of RECs in the NHS is coordinated through the Health Research Authority's (HRA) Research Ethics Service (RES). HRA RES review and give ethical opinion to all research involving the NHS patients or their data and/or the use of investigational

medicinal products or devices. **The University of Nottingham recognises and accepts the HRA RES ethical opinion**. The University of Nottingham Research Governance Team reviews all applications for Sponsorship prior to the submission of approvals for ethics and regulatory approvals. Standard Operating Procedures available on the University's Research Governance pages which set out instructions on how this is done.

### 17.2. University Research Ethics Committees

The University Research Integrity and Research Ethics Committee (URIEC) is responsible for all Research Ethics Committees within the University of Nottingham. URIEC has REC members representing each of the five faculties and China and Malaysia campuses.

### 17.3. Ethical review and processes

Every research project must go through some form of an ethical assessment. Ethical review (and favourable ethical opinion) is required where the research involves the participation of human participants (participants, see Section 18 for definition), their data and/or their tissue (see criteria for ethical review Code of Practice for Research Ethics Review Committees).

Where the use of animals is involved, this is subject to regulation and the ethical review is carried out by the University's Animal Welfare and Ethical Review Body (AWERB) – see section 17.5– in line with the legislation.
Researchers are advised that if in doubt about the need for a Research Ethics Committee review of their research to speak to their School Ethics Officer or committee. Responsibility for ensuring proper ethical review lays with the Chief/Principal Investigator or the Student Supervisor.

In addition to complying with the University's internal policies, each School must ensure that systems are employed to review the ethical implications of research undertaken by its academic and research staff and students before any research commences.

Heads of Schools who are able to support research with School funds must ensure that Research staff are especially vigilant regarding the potential need to seek the opinion of one or more ethics committees. If there is any doubt about the need for ethical review in relation to their proposed research, staff should seek advice from their School Research Ethics Officer.

### 17.4. Disclosure and Barring Service

The Disclosure and Barring Service (DBS) falls under the Protection of Freedoms Act 2012 and merges the functions previously carried out by the Criminal Records Bureau (CRB) and Independent Safeguarding Authority (ISA).

Where the research involves participation of children or vulnerable adults the participating organisation via whom the researcher hopes to recruit the study participants, may request a DBS check of the researchers, and researchers must be prepared to undertake this. Refer to Appendix A for how this applies to the UNM campus.

The DBS is an Executive Agency of the Home Office, and its aim is to help organisations in the public, private and voluntary sectors by identifying candidates who may be unsuitable to work with children or other vulnerable members of society. For available support please see Disclosure and Barring Service (DBS) pages.

### 17.5. Research and Teaching involving the use of animals

The Animals (Scientific Procedures) Act 1986 (ASPA) stipulates that a section 2C establishment licence must include a condition requiring the holder to establish and maintain an Animal Welfare and Ethical Review Body (AWERB). See page 88 of the Guidance on the Operation of ASPA.

The University of Nottingham's AWERB is required to mobilise institutional expertise and resources in order to promote good animal welfare and humane science by ensuring that the use of protected animals is justified. The process should ensure that proper account is taken of strategies to identify, and opportunities to apply, appropriate strategies to Replace, Reduce and Refine (the 3R's) in animal breeding and use in experimentation. UK staff undertaking work outside the University must comply with the University's AWERB procedures.

Where staff and students at UNNC and UNM undertake work outside of the UNNC/UNM facilities they have to complete AWERB procedures. Refer to Appendix A for UNM processes and procedures and Appendix B for UNNC processes and procedures.

The AWERB should therefore be notified of all proposed research and/or teaching involving protected animals to be undertaken by, or on behalf of the University staff either at this establishment or at an alternative site (including sites outside the UK). Subsequent recommendation by the Chair of the Animal Welfare and Ethical Review Body is required before the Establishment Licence Holder can countersign a Home Office project licence application for formal submission to the Home Office. All animal work not covered by the Animals (Scientific Procedure) Act 1986, requires approval by the AWERB before such work can commence. For more information see the University Policy and further guidance here.

## 18. Contacts

- If you have any questions regarding information in the Code of Research Conduct and Research Ethics, please see local SharePoint pages or contact the Head of Research Integrity, Governance and Compliance, Mr. Ali Alshukry (Ali.alshukry@nottingham.ac.uk).
- For any queries involving research in the NHS or Social Care services please see Research Governance SharePoint pages contact the University Research Governance team via email (Sponsor@nottingham.ac.uk).
- If you have any questions regarding the Malaysian guidance for the Code of Research Conduct and Research Ethics, in the first instance, you may contact Dr Then Sue-Mian (email: then.sue-mian@nottingham.edu.my)
- If you have any questions regarding the Chinese guidance the Code of Research Conduct and Research Ethics then, in the first instance, you may contact the Chair of the Ethics Committee UNNC Professor Cong Cao (cong.cao@nottingham.edu.cn).

## Review

This code is reviewed every two years, or when needed, by the University Research Integrity and Research Ethics Committee.

## Related policies, procedures, standards and guidance (including references)

- The University Code of Practice for Research Ethics Committees (CoPREC).
- The University Code of Practice on Handling Allegation of Research Misconduct.
- The University Policy and Guidance on Lone Working
- The University Policy on Conflicts of Interest, Gifts and Hospitality.
- The University Policy on External Work.
- The University Policy on the Use of Animals in Research
- The University Code of Practice on Research Data Management.
- The University Secure Data Handling Policy.

We acknowledge the use of the following documents in the preparation of this Code:

- Animals (Scientific Procedures) Act 1986 http://www.legislation.gov.uk/ukpga/1986/14/contents https://www.gov.uk/government/publications/animals-scientific-procedures-act-1986-amendment-regulations
- Biological and Toxin Weapons Act 1974 http://www.legislation.gov.uk/ukpga/1974/6
- Biological, Toxin and Chemical Weapons, and Radiological or Nuclear Materials: "Do no harm: reducing the potential for the misuse of life science research" (2004) The Royal Society & Wellcome Trust. https://royalsociety.org/news-resources/publications/2004/do-no-harm/
- Council for Science and Technology "Universal Ethical Code for Scientists" https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/283157/universal-ethical-code-scientists.pdf
- Counter-Terrorism and Security Act 2015 http://www.legislation.gov.uk/ukpga/2015/6/contents/enacted
- ESRC Research Ethics Framework https://www.ukri.org/councils/esrc/guidance-for-applicants/research-ethics-guidance/
- EU Clinical Trials Directive (2001/20/EC) https://health.ec.europa.eu/medicinal-products/clinical-trials/clinical-trials-directive-200120ec_en
- Export of Goods, Transfer of Technology and Provision of Technical Assistance (Control) Order 2005 http://www.hmso.gov.uk/si/si2005/20050468.htm
- Genetic Manipulation Approval
- HSE guidance document that supports the Genetically Modified Organisms (Contained Use) Regulations (http://www.hse.gov.uk/biosafety/gmo/law.htm )
- ACGM Compendium of Guidance - Guidance from the Health and Safety Commission's Advisory Committee on Genetic Modification (http://www.hse.gov.uk/biosafety/gmo/acgm/acgmcomp/ )
- Health Research Authority – Research Community and Research Ethics http://www.hra.nhs.uk/research-community/
- Human Fertilisation and Embryology Authority http://www.hfea.gov.uk/
- Human Tissue Act/Human Tissue Authority , http://www.legislation.gov.uk/ukpga/2004/30/contents, http://www.hta.gov.uk/



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- ICH Good Clinical Practice Guidelines (E6) http://www.ich.org/products/guidelines/efficacy/efficacy-single/article/good-clinical-practice.html
- Innovate UK https://www.gov.uk/government/organisations/innovate-uk
- Medicines and Healthcare products Regulatory Agency https://www.gov.uk/government/organisations/medicines-and-healthcare-products-regulatory-agency
- Mental Capacity Act (2005) http://www.legislation.gov.uk/ukpga/2005/9/contents
- MRC Ethics Series 'Personal Information in Medical Research (2000) http://www.mrc.ac.uk/documents/pdf/personal-information-in-medical-research/
- NHS Research & Development Forum http://www.rdforum.nhs.uk
- Office of Research Integrity (ORI) - US Department of Health and Human Sciences - Model Policy for 'responsible research – Managing health & safety in research: guidance for the not-for-profit sector' http://www.iosh.co.uk/ushaguide
- Responding to Allegations of Scientific Misconduct https://ori.hhs.gov/sample-policy-procedures-responding-research-misconduct-allegations
- Prevent Duty Guidance: for England and Wales https://www.gov.uk/government/publications/prevent-duty-guidance
- Team Science; https://acmedsci.ac.uk/policy/policy-projects/team-science
- The Concordat to Support Research Integrity (2025) https://www.universitiesuk.ac.uk/what-we-do/policy-and-research/publications/concordat-support-research-integrity
- The Wellcome Trust guidelines for researchers https://wellcome.ac.uk/funding/guidance/guidelines-good-research-practice
- UK Anti-terrorism, Crime and Security Act (ATCSA) 2001 http://www.legislation.gov.uk/ukpga/2001/24/contents
- UK Chemical Weapons Act 1996 http://www.legislation.gov.uk/ukpga/1996/6/contents
- UK Data Protection Act (2018) http://www.legislation.gov.uk/ukpga/1998/29/contents http://www.legislation.gov.uk/ukpga/2018/12/contents/enacted
- UK Policy Framework for Health and Social Care Research https://www.hra.nhs.uk/planning-and-improving-research/policies-standards-legislation/uk-policy-framework-health-social-care-research/
- UK Research Integrity Office (UKRIO) https://ukrio.org/

## Appendix A: University of Nottingham Malaysia (UNM) Guidance

The University of Nottingham's Code of Research Conduct and Research Ethics provides a comprehensive framework for good research conduct and the governance of all research carried out across the University. However, it is understood that researchers at the University of Nottingham Malaysia (UNM) may have to adhere alternative or additional guidelines or conventions. Appendix A outlines some of the adjustments which researchers at UNM may have to consider before commencing their research.

*Section 1. Observance of the Code*

UNM amendment (i)
All UNM employees, students, visiting and emeritus researchers are expected to adhere to the Code whilst taking into account the additional UNM adjustments and guidance. Where the expected best practice differs between the UK and Malaysia it is expected that the researcher will adhere to whichever of the two sets of guidance presents the highest standards of research ethics or governance. Where there are contradictory definitions of best practice the research should consult with RIS in the UK or the office of the Vice-Provost (Research and Knowledge Exchange) in Malaysia.

*Section 2. The Context*

UNM amendment (ii)
Some of the UNM adjustments derive from Malaysian Acts of Parliament, e.g. the Personal Data Protection Act (PDPA) 2010. Additionally, other policies are drawn from guidance published by the Malaysian National Institute of Health (NIH) of the Ministry of Health (MOH) and other Malaysian government departments.

*Section 3. Research Conduct*

UNM amendment (iii)
At UNM researchers are legally bound by the Malaysian Personal Data Protection Act (PDPA) 2010. Although the Malaysian Act is not dissimilar to the UK Data Protection Act (2018), researchers should be aware that there are subtle differences which may need to be addressed. It is likely that inter-campus research may need to satisfy both of these Acts independently.

*Section 4. Data*

UNM amendment (iv)
At UNM researchers are legally bound by the Malaysian Personal Data Protection Act (PDPA) 2010. However, it is expected that researchers adhere to whichever of the two Acts has the most stringent requirements applicable to their area of research.

UNM amendment (v)
Malaysia has strict controls on the possession, dissemination or publication of a range of materials, e.g. The Film Censorship Act 2002 makes it an offence for an individual to be in possession of "unapproved film or film-publicity material". Researchers should familiarise themselves with the legal framework in Malaysia to ensure that local laws are not broken or contravened.

Open Access Publishing

UNM authors have access to the Nottingham ePrints repository for purposes of depositing their research papers. Guidance on using Nottingham ePrints is available from Library Services via the email libraryservices@nottingham.edu.my

*Section 6. Intellectual property*

UNM amendment (vi)
In Malaysia, IP consists of the following categories:

- Patents
- Copyright
- Trademarks
- Industrial designs
- Geographical indications
- Layout designs of integrated circuits

The Intellectual Property Corporation of Malaysia can be contacted for further details of IP rights in a Malaysian context: www.myipo.gov.my

*Section 7. Supervision and Leadership*

UNM amendment (vii)
Malaysian Good Character Checks: where the research involves participation of children and/or vulnerable adults, the participating organisation via whom the researcher hopes to recruit the study participants may request that the researcher(s) obtain a Certificate of Good Conduct and researchers must be prepared to undertake this. Certificates of Good Conduct may be requested in person directly from the Ministry of Foreign Affairs at Putrajaya. Where the researcher is not residing in Malaysia, such an application can be made through a Malaysian embassy / consulate office overseas.

*Section 9. Conflicts of Interest*

UNM amendment (viii)
Starting from Dec 2023, UNM has rolled out the revised External Work Policy (EWP) provides the scope and definition of eligible external work. Complementing the EWP is the Conflict of Interest (COI) policy, which offers guidance on identifying and managing a potential (actual or perceived) conflict of interest situation. The best practice is to avoid being in such a situation to always self-declare any potential conflict to your Line Manager or relevant Committee using the Declaration of Conflict-of-Interest Form and fill up the Conflict-of-Interest Register.

Both policies protect the University and staff members from liability and possible risks. Staff were advised that failure to follow either policy may result in disciplinary action.

*Section 10. Adverse Events*

UNM amendment (ix)
The Malaysian Guidelines for Good Clinical Practice state that all serious adverse events being detected or notified should be reported to the sponsor within 2 working days. These immediate reports should be followed up within 7 days with detailed written reports. This detail contrasts slightly with the UK guidance in Part 5 (Regs 32, 33, 34 and 35) of The Medicines for Human Use (Clinical Trials) Regulations 2004: SI 2004/1031, which states: “the investigator shall report any serious adverse event (SAE) which occurs in a subject immediately to the sponsor.”

*Section 11. Insurance*

UNM amendment (x)

UNM holds insurance policies that provide indemnity for claims against both the University and the individual for:

- Fire and equipment all risk (but not business interruption);
- Employers liability: this covers for claims made for death, injury or disease to any person arising out of and in the course of their employment;
- Public liability: this provides indemnity in respect of claims made for death, injury or disease to persons other than employees or loss or damage to third party property arising out of and during the course of the business;
- Directors and officers insurance: this provides indemnity in respect of legal liability to third parties for breach of professional duty due to negligent act, error or omission in connection with your business.

NB. Each separate policy carries specific inclusions and exclusions. There are currently no insurance policies covering business interruption or clinical trials, both of which are in place at the UK campus.

*Section 12. Additional Requirements*

UNM amendment (xi)

At UNM all research grants applications and commercial research contracts whose Principal or Chief Investigator is employed by the University must be approved by the Vice-Provost (Research and Knowledge Exchange) or a person or committee nominated by them, e.g. Associate Dean (Research).

UNM amendment (xii)

When proposing to conduct research overseas, researchers from UNM also have a responsibility to inform themselves and be aware of the regulations, local practices and guidelines governing that research within individual countries.

UNM amendment (xiii)

Instead of discussing with the “University Insurance Officer”, researchers at UNM should report to the University Research Integrity and Research Ethics Committee (URIREC). The Chair of URIREC will consult with the relevant Ethics Officer and take the necessary actions to make a decision.

UNM amendment (xiv)

Any medical research that is proposed to be conducted overseas by a UNM researcher must apply to the FASS Research Integrity and Research Ethics Committee and FOSE Research Integrity and Research Ethics Committee, and seek favourable ethical opinion to commence the project. The ethics committee will advise on the best course of action and requirements to gain the necessary approval. Researchers of collaborating institutions will have to seek ethical approval from their respective Ethics Committees to commence the proposed project.

UNM amendment (xv)

UNM researchers are responsible for ensuring that in any international research collaborations (including those with researchers at the UK or China campuses) the conduct of the research being undertaken in Malaysia adheres to applicable Malaysian law. Any conflict with other collaborating countries’ laws and practices must be resolved before the research starts.

UNM amendment (xvi)

Malaysia has implemented the Nagoya Protocol via the Access to Biological Resource and Benefit Sharing Act 2017. For a copy of the Act, relevant regulations and other materials, please visit www.myabs.gov.my

Malaysia has strict controls on the possession, dissemination or publication of a range of materials, e.g. The Film Censorship Act 2002 makes it an offence for an individual to be in possession of "unapproved film or film-publicity material". Researchers should familiarise themselves with the legal framework in Malaysia to ensure that local laws are not broken or contravened.

All research papers (either in the form of the author's final manuscript or the formally-published version/s), where copyright allows, should be deposited in the Nottingham ePrints repository upon publication or as soon as possible thereafter.

Researchers who are in doubt should seek advice and clarification from the URIREC.

*Section 15. Research Misconduct*

UNM amendment (xvi)
Where a student, research participant or member of the public has concern about the conduct of research at UNM they should communicate the matter to the supervisor of the research project at the earliest opportunity. If the concern persists or is unresolved, the matter should report to the URIREC. The Chair of URIREC will consult with the relevant Ethics Officer and make a decision on the best action to resolve the matter.

*Section 16. Ethics Committees*

UNM amendment (xvii)
In Malaysia, the coordination of medical research is carried out through the National Medical Research Register (NMRR) with decisions on project ethics approval being ultimately taken by the Ministry of Health (MOH) Medical Research and Ethics Committee (MREC).

For research involving underage students (7-18 years old) in government schools or learning institutes, the researchers will need the postgraduate student to also apply to the Ministry of Education (MOE) for the ethical approval. There is also ethical approval needed for research involving indigenous people (Orang Asli) in Penisular Malaysia, which is the Jabatan Kebajikan Orang Asli (JAKOA).

*Section 16.3. Ethical review and processes*

UNM amendment (xviii)
Medical or clinical research involving Malaysian government hospital resources, staff, patients and biological materials or data derived from them and ALL clinical research involving the use of IMPs or medical devices on human participants must be carried out through the Malaysian National Medical Research Register (NMRR) with decisions on project ethics approval being ultimately taken by the Ministry of Health (MOH) Medical Research and Ethics Committee (MREC). Also, any research involving resources, staff, patients and biological materials or data derived from them will also require approval typically from the Medical Director of each government hospital involved.

All investigators wishing to carry out medical or clinical research in Malaysia are required to undergo training in Good Clinical Practice (GCP) leading to certification prior to involvement in clinical trials. Such training courses must be approved by the National Committee for Clinical Research (NCCR).

Medical or clinical research NOT involving the use of an Investigational Medicinal Product (IMP) or medical device and involving the participation of healthy volunteer research subjects only is reviewed by MREC or the University's FOSE Research Integrity and Research Ethics Committee. Any research carried out on Malaysian MOH premises or with the assistance of an MOH grant must be reviewed by MREC and must also adhere to the Malaysian Guidelines for Good Clinical Practice (http://www.nccr.gov.my/index.cfm?menuid=6&parentid=17).

UNM amendment (xix)
Any medical or clinical research taking place in Malaysia that requires a Clinical Trial Import License (CTIL) and/or Clinical Trial Exemption (CTX) must be registered with the NMRR. The following categories of products require a CTIL:

(i) A product (including placebo) which is not registered with the Malaysian Drug Control Authority (DCA).

(ii) A product with a marketing authorisation but being used in an unapproved manner.

(iii) A "traditional product" with a marketing authorisation being used for an unapproved indication/ therapeutic claims for clinical trial purpose.

For further information consult the Guidelines for Application of Clinical Trial Import Licence and Clinical Trial Exemption in Malaysia (https://www.npra.gov.my/easyarticles/images/users/1140/Malaysian-Guideline-for-Application-of-CTIL-and-CTX-8th-Ed-Final.pdf).

UNM amendment (xx)
Research taking place in Malaysia that may cause pain, suffering, distress or lasting harm to laboratory animals should be approved by both Animal Welfare and Ethical Review Body (AWERB) based at the UK campus and the Animal Care and Use Committee (ACUC) of the collaborating institution that is equipped with animal holding facility and relevant instruments for animal research. Under the Animal Welfare Act 2015 (Penisular Malaysia and W.P. Labuan), institute of higher learning defined under the Malaysia Education Act 1996 must have Animal Welfare Board and Animal Ethics Committee to govern the use of lab animals for research. For example, the Institute for Medical Research (IMR) ACUC is able to review proposals submitted by external researchers.

The use of non-domesticated species, which may include non-human primates and other wildlife species for either research or teaching conducted by, or on behalf of, University of Nottingham staff that may cause pain, suffering, distress or lasting harm should be approved by the Animal Welfare and Ethical Review Body (AWERB) based at the UK campus and also relevant bodies such as Department of Wildlife and National Parks Penisular Malaysia (Wildlife Conservation Act 2010), Forest Department Sarawak (Wildlife Protection Ordinance 1998, Sarawak), Sabah Wildlife Department (Wildlife Conservation Enactment 1997 Sabah). The use of aquatic mammals and fisheries species for either research or teaching conducted by, or on behalf of, University of Nottingham staff that may cause pain, suffering, distress or lasting hard should be approved by the Animal Welfare and Ethical Review Body (AWERB) based at the UK campus and also relevant bodies such as the Department of Fishery Malaysia and the relevant state bodies which is covered under the Fisheries Act 1985 (Act 713) and Inland Fisheries and Aquaculture Enactment 2003, Sabah (IFAE 2003).

All of the UNM AWERB applications needs to go through the UNM AWERB local reviewer which will be assigned by the UNM AWERB PIC Dr Then Sue-Mian (then.sue-mian@nottingham.edu.my) before the applications to be submitted for a full review at AWERB UK campus.

NOTE:

All protected animals are defined in Section 1.4 of the Guidance to the UK Animals (Scientific Procedures) Act 1986)

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/291350/Guidance_on_the_Operation_of_ASPA.pdf

*Section 19. Contacts*

UNM amendment (xxi)

If you have any questions regarding the Malaysian guidance for the Code of Research Conduct and Research Ethics then, in the first instance, you may contact Dr Then Sue-Mian (email: then.sue-mian@nottingham.edu.my).

More information about FOSE Research Integrity and Research Ethics Committee and training requirements can be accessed here: https://moodle.nottingham.ac.uk/course/view.php?id=49248. More information about FASS Research Integrity and Research Ethics Committee and can be accessed here: https://moodle.nottingham.ac.uk/course/view.php?id=49539

## Appendix B: University of Nottingham Ningbo China (UNNC) Guidance

The University of Nottingham's Code of Research Conduct and Research Ethics provides a comprehensive framework for good research conduct and the governance of all research carried out across the University. However, it is understood that researchers at the University of Nottingham Ningbo China (UNNC) may have to adhere to alternative or additional guidelines or conventions.

### *Section 1. Observance of the Code*

#### UNNC amendment (i)

All UNNC employees, students, visiting and emeritus researchers are expected to adhere to the Code. At the same time, the researchers must take into account the additional UNNC adjustments and guidance. Where the expected best practice differs between the UK and China it is expected that the researcher will adhere to whichever of the two sets of guidance presents the highest standards of research ethics or governance. Where there are contradictory definitions of best practice the research should consult with RIS in the UK or the Chair of the Research Ethics Committee at UNNC.

### *Section 2. The Context*

#### UNNC amendment (ii)

China has strict controls on the possession, import, dissemination, or publication of a range of materials, regulated by the laws and societal norms. Some of the UNNC adjustments are dictated by the unique cultural and societal norms practiced in China. Researchers should familiarise themselves with the legal framework and societal norms in China to ensure that local laws and norms are not broken or contravened. Some areas of research ethics are not covered by the specific Chinese legislations and regulations. In such situations the University of Nottingham UK rules and regulations will be used as guidance for research conduct and research ethics in UNNC.

### *Section 3. Research Conduct*

#### UNNC amendment (ii)

Although UNNC researchers will follow both the UNUK and UNNC codes of research conduct, researchers should be aware that there are some specific Chinese contextual issues which may need to be addressed. The inter-campus research must satisfy both codes of conduct and rules and must obtain separate ethical approval from both campuses.

#### UNNC amendment (iv)

UNNC researchers are required to complete compulsory training in research integrity and ethics conducted regularly at UNNC. The members of the UNNC Research Integrity and Ethics Committee will undergo additional training. Additional guiding principles related to the research ethics conducted in China may be found at AAHRPP and SIDCER.

AAHRPP: https://www.aahrpp.org/

SIDCER: https://www.sidcer-fercap.org/pages/home.html

### *Section 4. Data*

#### UNNC amendment (iv)

In China, the Civil Law provides that natural person's data are protected by law. The principal legislation providing for data protection includes the Cybersecurity Law of the People's Republic of China (implemented on June 1, 2017), the Data Security Law (implemented on September 1, 2021) and the Personal Information Protection Law of the People's Republic of China (issued on April 29, 2021, under review as of October 2021). Any research at UNNC must be consistent with the provisions of these laws. When researchers collect secondary data from any third party (e.g. commercial or public entities that collect primary data) supporting documentation (e.g. the contract or

description on how the third party collects data) should be available to justify that the third party's data collection and the data usage by the researchers follow the Civil Law of China. Scientific data requirements in China should adhere to the "Regulation on Scientific Data" (General Office of the State Council of PRC, 17/03/2018) policy. Unless otherwise mandated by the conditions of project funding, data generated in projects funded by the Chinese government sources shall follow open access policy and shall be deposited with a suitable UNNC repository before being sent out of China.

UNNC authors have access to the outputs module of Pure for purposes of depositing their research papers. Guidance on using Pure is available from the Research Office via the email UNNCRIS@nottingham.edu.cn. Guidance on metadata, copyright, and licensing of research papers in Pure is available from the Library via the email publications@nottingham.edu.cn

*Section 5. Publications and Authorship*

UNNC amendment (v)
All research papers and accompanied data sets (either in the form of the author's final manuscript or the formally-published version/s), where copyright allows, should be deposited in the Nottingham ePrints repository upon publication or as soon as possible thereafter, preferably within one month from the date of publication

*Section 6. Intellectual Property*

UNNC amendment (vi)
Intellectual property in China is regulated and protected by the country's laws and regulations. The areas governed by these laws and regulations include patents and designs, copyright, trademarks, contracts, and unfair competition. Protection of geographic indication may be done through certification or collective trademarks. Plant breeders can protect their rights to new varieties of plants by registration in China. The researchers should practice highest standards of protection of IP rights of others while conducting their research. Further details on IP laws and policies in China are available at the China National Intellectual Property Administration website: http://english.cnipa.gov.cn/

*Section 7. Supervision and Leadership*

UNNC amendment (vii)
UNNC has adopted guidelines for the supervision of research undertaken by staff and students in accordance with requirements prescribed from time to time by the Senate and as specified in the Quality Manual for Staff and Students (http://www.nottingham.ac.uk/quality-manual/). The quality manual includes regulation specific to the UNNC.

*Section 9. Conflicts of Interest*

UNNC amendment (viii)
Where there is a potential conflict of interest in research conducted at UNNC that falls outside the areas covered in section 8 of this code, this must be discussed with the UNNC research ethics committee chair at the earliest opportunity.

UNNC amendment (ix)
Due to the widespread social practice of gift giving in China, researchers are allowed to give participants souvenirs and other simple gifts according to the current anti-bribery policy (see https://www.nottingham.ac.uk/fabs/procurement/supplier-zone/anti-bribery-policy.aspx).

*ection 12. Additional requirements*

UNNC amendment (x)
When proposing to conduct research overseas, researchers from UNNC also have a responsibility to inform themselves and be aware of the regulations, local practices and guidelines governing that research within individual countries.

UNNC amendment (xi)
Researchers at UNNC should inform their respective Head of School/Department or the Research Group of plans to conduct any research outside of People's Republic of China.

UNNC amendment (xii)
UNNC researchers are responsible for ensuring that in any international research collaborations (including those with researchers at the UK or Malaysia campuses) the conduct of the research being undertaken in China adheres to applicable UNNC rules including research ethics review procedures and Chinese laws and rules. Any conflict with other collaborating countries' laws and practices must be resolved before the research starts.

If the researcher/s is/are in doubt they should seek advice and clarification from the Chair of their local ethics committee.

*Section 15. Research Misconduct*

UNNC amendment (xiii)
Where a student, research participant or member of the public has concern about the conduct of research at UNNC they should communicate the matter to the supervisor of the research project at the earliest opportunity. If the concern persists or is unresolved, the matter should be referred to the relevant Head of School or Head of Research Group for resolution. In the unlikely event that the concern remains beyond this, or that the Head of School has a conflict of interest, then the matter should be referred to the Dean of Faculty and the Vice-Provost (Research and Knowledge Exchange) for advice.

*Section 16.3.7. Research involving the use of animals*

UNNC amendment (xiv)
The use of protected animals in either research or teaching conducted by, or on behalf of, University of Nottingham staff that may cause pain, suffering, distress or lasting harm should be approved by the Animal Welfare and Ethical Review Body (AWERB) based at the UK campus. This applies to animal work undertaken in China. Other similar committees may exist in China, however ALL activities involving animal work of this nature should be approved via the University of Nottingham AWERB to ensure that appropriate standards are in operation across all University sites.

NOTE:

All protected animals are defined in Section 1.4 of the Guidance to the UK Animals (Scientific Procedures) Act 1986)

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/291350/Guidance_on_the_Operation_of_ASPA.pdf

*Section 19. Contacts*

UNNC amendment (xv)
If you have any questions regarding the Chinese guidance the Code of Research Conduct and Research Ethics then, in the first instance, you may contact the Chair of the Ethics Committee UNNC Professor Cong Cao (cong.cao@nottingham.edu.cn)

### UNNC amendment (xvi)

In some cases, researchers may obtain verbal or electronic consent instead of written consent. However, researchers should provide strong justification and explain this strategy in their ethical review applications. If researchers study vulnerable groups such as children or UNNC students, then written consent forms must be obtained.