Prifysgol Cymru
Y Drindod Dewi Sant
University of Wales
Trinity Saint David

Research Ethics and Integrity Policy

Mae'r ddogfen hon ar gael yn Gymraeg ac yn Saesneg | This document is available in Welsh and English

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1. Introduction

The University of Wales Trinity Saint David is committed to the maintenance of high ethical and standards in the research undertaken by its staff and students. The University recognises its obligations under the Concordat to Support Research Integrity to ensure that research undertaken under its auspices is conducted to appropriate standards and conforms to robust ethical principles and practices of conduct and governance. The University believes that research ethics review and approval are important for the following reasons:

- To uphold the highest standards of rigour and integrity in all aspects of research.
- To ensure that research is conducted according to appropriate ethical, legal and professional frameworks, obligations and standards.
- To support a research environment that is underpinned by a culture of integrity and based on good governance, best practice, and support for the development of researchers.
- To use transparent, timely, robust and fair processes to handle allegations of research misconduct when they arise.
- To ensure that the University meets its obligations as a Data Controller under the Data Protection Act 2018, the General Data Protection Regulation 2018, and the United Kingdom General Data Protection Regulation 2020 ("UK GDPR"), with respect to research data processing.
- To work together with other institutions as required from time to time to strengthen the integrity of research and to reviewing progress regularly and openly.

2. Purpose

This Research Ethics and Integrity Policy expresses the required standards of rigour and integrity expected of researchers undertaking research at the University, the ethical principles and review process that all research must be considered by, and the governance processes which the University requires its researchers to follow. It directly supports the University's Research and Innovation Strategy and demonstrates our commitment to the Concordat to Support Research Integrity (UUK, 2019), which seeks to provide a comprehensive national framework for good research conduct and its governance. The Policy sets out in detail the requirements for ethical review for all research activity at UWTSD. The Policy also defines what is meant by research misconduct and the procedure to be followed if research has failed to meet the University's standards for research integrity.

The procedures and guidelines outlined in this Policy are overseen by the University's Research Ethics Committee, who, by working with the University's Data Protection Officer, has oversight of data protection compliance on the research undertaken in the University. The Terms of Reference for the Research Ethics Committee can be found in Chapter 2 of the Academic Quality Handbook. The governance process for staff, supervisors and their students are outlined in this Policy.

In this regard this Policy seeks to ensure that:

i. Researchers, whether at undergraduate, postgraduate or staff level in the University understand the expected standards of rigour and integrity relevant to their research and maintain the highest standards of rigour and integrity in their work at all times.
ii. The University meets its responsibilities and is accountable for maintaining a research environment that develops good research practice and nurtures a culture of research integrity and supports researchers to understand and act according to expected standards, values and behaviours. This should encourage high-quality research activities across all relevant areas of research, supervision and teaching at UWTSD; protect the researcher, institution, and participants from harm; ensure the benefits and risks of research are properly considered; ensure that research sponsored by the University meets the requirements of relevant legal and professional frameworks, obligations and standards as required by statutory and regulatory authorities, or by funders and other relevant stakeholders; and ensure that sound research data management processes are established for all research, and that the University's responsibilities as a Data Controller are met.

With specific regard to data protection legislation, this means that while the University as a data controller has an obligation to implement appropriate organisational and technical measures, every individual who is subject to this policy must comply with it.

3. Scope

Ethical approval is required for all research carried out by staff and students at the UWTSD. It is the responsibility of the research supervisor (at both undergraduate and postgraduate level) to ensure that research complies this University Research Ethics & Integrity Policy and other relevant guidance. This policy is applicable to:

i. Academic, research, and relevant support staff employed by the University, and other individuals carrying out research at, or on behalf of, the University
ii. Students undertaking research and their supervisors
iii. Individuals holding honorary titles who are conducting research within, or on behalf of, the University

For the purposes of this Policy, research is defined as work which involves a systematic investigation to establish understanding, facts, principles or contribution to knowledge and its application. This Policy does not refer directly to broader questions of ethical behaviour within the University in areas other than research.

4. Policy

4.1 Research Integrity

Research conducted in and by the University should be undertaken in accordance with commonly agreed standards of good practice. The Concordat to Support Research Integrity recognises that the core aspects of research integrity include:

i. **Honesty** in all aspects of research, including in the presentation of research goals, intentions and findings; in reporting on research methods and procedures; in gathering data; in using and acknowledging the work of other

researchers; and in conveying valid interpretations and making justifiable claims based on research findings

ii. **Rigour** in line with prevailing disciplinary norms and standards: in performing research and using appropriate methods; in adhering to an agreed protocol where appropriate; in drawing interpretations and conclusions from the research; and in communicating the results

iii. **Transparency and open communication** in declaring conflicts of interest; in the reporting of research data collection methods; in the analysis and interpretation of data; in making research findings widely available, which includes sharing negative results as appropriate; and in presenting the work to other researchers and to the general public

iv. **Care and respect for all participants** in and subjects of research, including humans, animals, the environment and cultural objects. Those engaged with research must also show care and respect for the stewardship of research and scholarship for future generations

v. **Accountability** for the University to create a research environment in which its staff and students are empowered and enabled to own the research process. Those engaged with research must also ensure that investigators are held to account when behaviour falls short of the standards set by this policy.

In developing and maintaining their research practice, staff should keep themselves informed of key developments in their fields of research and scholarly activity, including undertaking appropriate training and development opportunities offered by the University, in areas such as Equality and Diversity and Inclusion, Research Data Management and Trusted Research and Innovation.

4.2 Research Ethics Principles

The University recognises that researchers must be able to exercise freedom in their academic choices and must also accept responsibility for the decisions they make. Thus, the primary responsibility for ensuring that they act according to these integrity principles in all aspects of their research work, including peer review, lies with the individual. However, the University also has an important role to play through the process of ethical review, which focuses on the ethical question: should a particular piece of research (or research program) be conducted as proposed? The University in this regard will undertake a timely and substantive ethical review of all proposed research. In respect of ethical considerations research proposals will be assessed against the following seven ethical principles:

i. **Beneficence and non-maleficence.** Research should be worthwhile and provide value that outweighs any risk or harm. Researchers should aim to maximise the benefit of the research and minimise potential risk of harm to participants and researchers. All potential risk and harm should be mitigated by robust precautions

ii. **Respect for persons:** autonomy and protecting those with diminished autonomy. All participants in research must take part voluntarily, free from any coercion or undue influence, and their rights, dignity and autonomy should be respected and appropriately protected.

iii. **Informed consent**. Wherever possible, participation should be voluntary and appropriately informed. Informed consent requires that research staff and participants should be given appropriate (a) information about the research (b) in a comprehensible manner (c) without duress or inappropriate inducement.

iv. **Confidentiality and data protection**. Individual research participant and group preferences regarding anonymity should be respected and participant requirements concerning the confidential nature of information and personal data should be respected.

v. **Integrity, transparency and accountability.** Research should be designed, reviewed and undertaken to ensure recognised standards of integrity are met, and quality and transparency are assured. Lines of responsibility and accountability should be clearly defined.

vi. **Conflict of interest.** The independence of research should be clear, and any conflicts of interest or partiality should be explicit. A conflict of interest arises where a researcher's obligation to the institution or a funder to conduct research independently is likely to be compromised, or may appear to be compromised.

vii. **Justice**. Where possible, efforts should be made to ensure that the benefits, risks and costs of the research should be distributed in a fair manner. In all cases, the research must not unfairly discriminate against certain individuals or groups.

4.3 Research Governance

In addition to the standards of integrity and ethical principles expected for all research sponsored by the University, researchers must also ensure that they follow all applicable University policies and procedures. These policies and procedures are in place to ensure that all research sponsored by the University meets the requirements of relevant legal and professional frameworks, the obligations and standards required by statutory and regulatory authorities, or those of funders and other relevant stakeholders. They include, for example: data protection legislation, legislation and frameworks regarding clinical research, research involving animals (such as the Animals and Scientific Procedures Act), legal requirements for export control, health and safety requirements (e.g. risk assessment), community protection legislation, indemnity and insurance, as well as those relating to the Welsh language duties and those of equality, diversity and inclusion. Matters of research governance are also covered in other UWTSD Policies and the UWTSD Financial Regulations as they relate to the Bribery Act 2010, Fraud Act 2006, Modern Slavery Act 2015, National Security and Investment (NSI) Act 2021 and the Subsidy Control Act 2022. These issues will be screened in the Ethics approval process, and applicants directed to the relevant professional service for additional support where appropriate.

4.4 Research Ethics Approval

To ensure that the appropriate standards of research ethics and integrity are met, all research undertaken by the University's staff, its students, and under its name, must obtain ethical approval. This includes funded and unfunded research of any kind, regardless of the discipline, methodology, scope and nature of the research, where research data or new research materials are generated.

4.5 Disregarding this policy may lead to:

- The failure of assessed work
- The suspension of study/research projects, and/or funding from research sponsors
- The requirement that collected data may be destroyed
- The inability to publish
- In the case of export control, liability for prosecution
- Disciplinary action

4.6 Annual Research Integrity Report

In meeting the requirements of the Research Integrity Concordat, the University will take steps to ensure that the its research environment promotes and embeds a commitment to research integrity, that we periodically review our processes to ensure that these remain fit for purpose, and that suitable processes are in place to deal with misconduct. To promote accountability, the University will produce an annual Research Integrity Report, which will be presented to the University Council, and subsequently be made publicly available on the UWTSD website. The annual statement will include:

- a summary of actions and activities that have been undertaken to support and strengthen understanding and the application of research integrity issues
- a statement to provide assurance that the processes the University has in place for dealing with allegations of misconduct are transparent, timely, robust and fair, and that they continue to be appropriate to the needs of the organisation
- a high-level statement on any formal investigations of research misconduct that have been undertaken, which will include data on the number of investigations. If no formal investigation has been undertaken, this should also be not
- a statement on what the institution has learned from any formal investigations of research misconduct that have been undertaken, including what lessons have been learned to prevent the same type of incident re-occurrin
- a statement on how the institution creates and embeds a research environment in which all staff, researchers and students feel comfortable to report instances of misconduct.

5 Procedures for the Ethical Approval of Research Project

To ensure that the University's procedures for maintaining the highest standards of research ethics and integrity are operationally efficient and proportionate to the risks, separate procedures are established for undergraduate research, taught postgraduate research, postgraduate research degrees and staff research.

5.2 Taught Undergraduate and Taught Postgraduate Research

Research supervisors have overall responsibility for ensuring that appropriate ethical scrutiny of their students' research occurs and must advise their students on the processes required. Ethics review of student work focuses on the protection of participants, compliance with legal requirements, participants being properly

informed about the research, consent being taken appropriately, and procedures for anonymising, storing and eventually deleting data meeting University requirements.

The Research Ethics Committee does not, under normal circumstances, review and approve research projects and related research activities conducted as part of taught undergraduate, taught postgraduate, taught short course programmes, or undergraduate and postgraduate dissertations. It does however provide advice, guidance and support to academic staff supervising such teaching, assessment, projects and activities. Each Institute has its own procedures for ensuring that research conducted in their respective programmes does not breach the University's standards for research ethics and integrity (including, but not limited to, data protection legislation). Institute procedures should be reviewed and updated annually and reported to the University Research Ethics Committee.

Each Institute has a devolved research ethics process and representative(s) for undergraduate and taught postgraduate research ethics matters. The role of these representatives is as follows:

a) Represent their Institute on the Research Ethics Committee and contribute meaningfully to activities set by the committee
b) Disseminate Research Ethics Committee policies and procedures to teaching and research staff in their department and monitoring of their implementation.
c) Advise the academic staff and students in their department on matters pertaining to the ethics and integrity of research in student work.
d) Manage the research ethics process in their Institute
e) Disseminate access to training resources for students and staff including online resources.
f) Report any issues in their Institute to the Research Ethics Committee at least annually.
g) Develop/sustain an ethical culture around research in the Institute and encourage participation on ethics training offered by the University

5.3 Research Degrees

All prospective research projects, whether at MPhil, MRes or Doctoral levels, should be referred to the Research Ethics Committee by the student and supervisory team for approval after the Research Proposal (PG1) has been approved by the Research Degrees Committee. The PG2 Application for Ethical Approval Form should be completed in all cases and submitted to the Research Ethics Committee. All research students are required to complete this form.

5.4 Staff Research

All research undertaken by academic, research, and relevant support staff employed by the University, and other individuals such as those holding honorary titles, is covered by this Policy. **This includes research of any kind, regardless of the discipline, methodology, scope and nature of the research, where research data or new research materials are generated.** This is a requirement for both non-funded research and for research where external funding has been awarded. In instances where the research is dependent upon external funding being secured, it is not normally expected that the lead investigator should seek full ethical approval at the application stage, although this is recommended in higher ethical risk cases,

such as research dealing with medical or health research, any non-CE marked medical device, research working with children, vulnerable adults, or that which takes place in hazardous environments. The PG2 Application for Ethical Approval Form should be completed in all cases and submitted to the Research Ethics Committee.

6. Artificial Intelligence

The use of Artificial Intelligence presents opportunities and challenges for research. As a rapidly evolving field, all proposed uses of AI in research should be considered so that researchers and the ethics review process can clearly consider and distinguish between legitimate uses and those which may give rise to research misconduct, fundamentally unethical practices or potential unintended consequences. Before using AI, all **staff** and **postgraduate researchers** should therefore consider whether their use of AI upholds the ethical principles and standards of research integrity detailed in this Policy, in addition to any legal and regulatory considerations that may arise (such as data protection and IP infringement). Supervisors and research students should also refer to the University's Generative Artificial Intelligence Guidance. In this regard:

Staff are expected to:

a) Support and take part in learning opportunities offered to support AI literacy, understanding of ethical and other considerations in relation to artificial intelligence, and the potential future developments and uses of artificial intelligence.
b) Engage early with students to ensure, as a minimum, they are clear about the institutional and individual programme expectations around the use of Generative AI tools.
c) Support and guide students towards AI literacy, understanding of ethical and other considerations in relation to artificial intelligence, and the potential future developments and uses of artificial intelligence.
d) Propose and implement any necessary changes to research designs and assessment to take into account, and incorporate, the use of AI technology.
e) Take any necessary steps to ensure academic integrity and the ethical and appropriate use of artificial intelligence, as per University policies and guidance.

Students are expected to:

a) Take part in learning opportunities offered to support AI literacy, understanding of ethical and other considerations in relation to artificial intelligence, and the potential future developments and uses of artificial intelligence.
b) Ensure the academic integrity of their work and the ethical and appropriate use of artificial intelligence, including that trying to claim AI-generated content as their own is considered academic misconduct, where not specifically allowed.

7. Data Protection Legislation (Personal Data)

Research data processing involving personal data must be undertaken in accordance with University's obligations as a Data Controller under the Data Protection Act 2018, the GDPR and UK GDPR. This legislation defines the University's responsibility to ensure that there are appropriate organisational and technical measures in place to protect personal data. These measures are set out in the UWTSD Research Data Management Policy. When processing research data, researchers must therefore follow the obligations which are set out in the Research Data Management Policy which provides:

- Guidance on the lawful basis of processing personal research data ('public task').
- Guidance on conducting a Data Protection Impact Assessment (DPIA).
- Guidance on the use of privacy notices / approved privacy notices for use in particular contexts.
- Data sharing policies and procedures.
- Data retention policies and procedures.
- Data destruction policies and procedures.
- Data security guidelines, policies and procedures.
- Guidance on international transfers of personal data.
- Breach reporting guidelines, policies and procedures.
- Data subject rights requests.

The UK GDPR requires researchers to integrate data protection concerns into every aspect of their processing activities. Those undertaking research are therefore expected to maintain awareness of current requirements and obligations set by the University, and where applicable, those of the research sponsor, research partners, the supplier of externally sourced data and any other relevant bodies. The University's researchers must also adopt practices that are appropriate and conform to best practice within the subject domain. These should include the application of appropriate measures to protect research participants throughout the research lifecycle. In general, these practices must ensure that any personal data collected through research activities are:

a) Processed lawfully, fairly and in a transparent manner in relation to individuals.
b) Collected for specified, explicit and legitimate purposes and not further processed in a manner that is incompatible with those purposes; further processing for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes shall not be considered to be incompatible with the initial purposes.
c) Adequate, relevant and limited to what is necessary in relation to the purposes for which they are processed.
d) Accurate and, where necessary, kept up to date; every reasonable step must be taken to ensure that personal data that are inaccurate, having regard to the purposes for which they are processed, are erased or rectified without delay.
e) Kept in a form which permits identification of data subjects for no longer than is necessary for the purposes for which the personal data are processed; personal data may be stored for longer periods insofar as the personal data will be processed solely for archiving purposes in the public interest, scientific or

historical research purposes or statistical purposes subject to implementation of the appropriate technical and organisational measures required by the GDPR in order to safeguard the rights and freedoms of individuals.

f) Processed in a manner that ensures appropriate security of the personal data, including protection against unauthorized or unlawful processing and against accidental loss, destruction or damage, using appropriate technical or organisational measures.

8. Research Data Management Planning

In order to comply with the University's obligations as a data controller, ethical approval includes an assessment of the proposed arrangements for managing any research data generated through the conduct of the research. While this is a corner-stone of good research integrity, it is also a legal requirement, as the legislation creates a legal obligation to think about and mitigate data protection issues and privacy concerns at the project planning stage before any data is gathered: this is known as 'data protection by design and default'.

This is especially important as the University also supports the principles of the Concordat on Open Research, which recognise that publicly funded research data are a public good and produced in the public interest, and that which has long-term value should be preserved to remain accessible and usable for future research. With regard to data sharing, this recommends that where it is lawful to do so, published results should always include information about how to access the supporting data which should be made openly available with as few restrictions as possible in a timely and responsible manner.

As good practice, all research conducted in the University should include an assessment of the following so that good research data management is considered by design and default. If AI technologies are to be used in any aspect of the research these should be specifically referenced in the research data management plan.

Data Summary	Assessment of the types of data the research will create or access, and why these are necessary.
Responsibilities	Assignment of responsibilities for data management within research teams
Data Collection	The proposed methodologies that will be used to create the data.
Assessment of existing data	An explanation of the existing data sources that will be used by the research project and an analysis of the gaps identified between the currently available and required data for the research.
Management and curation of data	Plans for preparing, organising and documenting data.
Quality assurance of data	Procedures for quality assurance that will be carried out on the data collected at the time of data collection, data entry, digitisation and data checking.
Short-term Data Storage	How the data will be stored in the short term during the research, including arrangements for data access, security and backup procedures required to ensure the data and metadata are securely stored during the lifetime of the project.

Long-term Data Storage and preservation	Which data will be of long-term value and should be retained, shared, and preserved? How the data will be stored in the long term? How long will it be stored for and why?
Documentation and Metadata	How will the data be documented during research to provide high quality contextual information?
Data Sharing	Will the data will be shared and the value it will have to others? Are any restrictions on data sharing required? Will the data need to be updated? Include future plans for updating if this is the case.
Ethical and Legal Considerations	What are the legal and ethical considerations of collecting / processing the data? Plans must make explicit mention of the planned procedures to handle consent for data sharing for data obtained from human participants, All data must be processed in accordance with the UWTSD Research Data Management Policy, which sets out our obligations under the UK Data Protection Act (2018) and UK GDPR.
Copyright and intellectual property ownership	Who will own the copyright and Intellectual Property Rights (IPR) of any new data?
Resources	What resources will you require to deliver your plan?

Table 1. Research Data Management planning by design and default

9. Data Protection Impact Assessment (DPIA)

UK Data Protection legislation has made it mandatory for data processors to compete a Data Protection Impact Assessment (DPIA) for **higher risk** data processing. A DPIA is an additional assessment to help researchers identify any potential risks a project might have as regards intruding into participants' privacy, and assists with implementing appropriate measures and controls to minimise and manage those risks. In most cases researchers and postgraduate research students completing the PG2 Application for Ethical Approval will provide sufficient information for the University to understand any data processing risks and to be satisfied that appropriately robust control measures are built into the research design. In cases where higher levels of risk are identified however, or where the project may contain complex data protection considerations, the Research Ethics Committee will request that a DPIA is undertaken. The University's Data Protection Officer will be consulted in all such cases and will be required to provide additional approval.

Higher risk indicators where a DPIA may be required include, but are not limited to, research where we intend to:

a) Use systematic and extensive profiling or automated decision-making to make significant decisions about people, or significantly affect them.
b) Process special-category data, criminal-offence data or data of a highly personal nature on a large scale
c) Systematically monitor a publicly accessible place on a large scale
d) Gather or analyse data involving the use of innovative technologies, or the novel application of existing technologies (such as Artificial Intelligence or the Internet of Things).

e) Process biometric or genetic data
f) Combine, compare or match data from multiple sources, which when combined, may give a fuller picture of identifiable data subject(s) in a way likely to exceed the reasonable expectations of the data subject(s).
g) Process personal data without providing a privacy notice or participant information sheet directly to the individual
h) Process personal data in a way that involves tracking individuals' online or offline location or behaviour
i) Process personal data that could result in a risk of harm in the event of a security breach. Processing of data concerning vulnerable data subjects where there is a substantial risk that circumstances may restrict their ability to freely consent or object to the processing of their personal data, or to understand its implication.

10. Health, Safety and Wellbeing

It is the responsibility of the proposing researcher to identify reasonably foreseeable risks associated with their research and control the risks so far as is reasonably practicable. Researchers have a responsibility to protect all participants, including those identified as potential participants, from avoidable harm arising from their research. Researchers also have a responsibility to consider their own safety and that of any co- researchers or collaborators. People participating in research should not be exposed to risks that are greater than, or additional to, those they encounter in their normal lifestyles. All participants, staff and students involved in the research have the right to expect protection from physical, psychological, social, legal and economic harm at all times during an investigation. Certain research may also present reputational, legal and / or economic risks to the University. If it is expected that harm, unusual discomfort or other negative consequences might occur during or after participation in a research project, the researcher should highlight this during the ethics approval process and complete a full risk assessment.

As part of the ethical approval process for research involving human participants you are required to identify potential risks associated with your research and the action you will take to mitigate risk. You may be asked to submit a further more detailed risk assessment. The risk assessment process is a careful examination of what could cause harm, who or what could be harmed and how. It will help you to determine what risk control measures are needed and whether you are doing enough to eliminate, adapt or mitigate the risks. This will be referred to the University's Health and Safety Officers for further advice. Researchers will need to be competent and familiar with the work or know where to obtain expert advice to ensure they have identified reasonably foreseeable risks.

Typical risks that need to be considered as part of research ethics are:

a) **Social risks**: disclosures that could affect participants standing in the community, in their family, and their job.
b) **Legal risks**: activities that could result in the participant, researchers and / or University committing an offence; activities that might lead to a participant disclosing criminal activity to a researcher which would necessitate reporting

to enforcement authorities; activities that could result in a civil claim for compensation.

c) **Economic harm:** financial harm to participant, researcher and / or University through disclosure or other event.
d) **Reputational risk:** damage to public perception of University or the University / researchers' reputation in the eyes of funders, the research community and / or the general public.
e) **Safeguarding risks:** Risk to young people, vulnerable adults and / or researcher from improper behaviour, abuse or exploitation. Risk to researcher of being in a comprising situation, in which there might be accusations of improper behaviour.

Health and safety risks that need to be considered as part of research ethics are:

f) **Location hazards**: for example: fire; visiting or working in participant's homes; working in remote locations and in high crime areas; overseas travel; hot, cold or extreme weather conditions; working on or by water. Also hazardous work locations, such as construction sites, confined spaces, roofs or laboratories. For overseas travel, researchers will need to check country / city specific information, travel health requirements and consider emergency arrangements as part of their research planning. In all cases the University's International Travel Policy must be followed.
g) **Activity hazards:** for example: potentially mentally harmful activities; distressing and stressful work and content; driving; tripping, or slipping; falling from height; physically demanding work; lifting, carrying, pushing and pulling loads; night time and weekend working.
h) **Machinery and equipment:** for example: ergonomic hazards, including computer workstations and equipment; contact with electricity; contact with moving, rotating, ejecting or cutting parts in machinery and instruments; accidental release of energy from machines and instruments.
i) **Chemicals and other hazardous substances:** the use, production, storage, waste, transportation and accidental release of chemicals and hazardous substances; flammable, dangerous and explosive substances; asphyxiating gases; allergens; biological agents, blood and blood products.
j) **Physical agents:** for example: excessive noise exposure, hand-arm vibration and whole body vibration; ionising radiation; lasers; artificial optical radiation and electromagnetic fields.

11. International Travel

All University business, including research, which requires overseas travel, must follow the UWTSD International Travel policy. All international travel should be planned sufficiently in advance before the Authorising Manager consents for the trip to go ahead. The Health and Safety team is responsible for supporting all University areas with understanding and compliance with the International Travel policy. Further information can be found on International Travel intranet pages and by email at healthandsafety@uwtsd.ac.uk

12. Welsh Language

UWTSD supports and encourages a thriving Welsh medium and bilingual research environment across a range of disciplines. This can include ensuring Welsh medium needs are considered at the beginning of the research process in terms of bid proposals, methodological design and the dissemination of research outputs, as well as researcher development and support. The Welsh Language (Wales) Measure 2011 established a legal framework to impose a duty on some organisations including UWTSD to comply with standards of conduct in respect of the Welsh language when operating in Wales. These Standards give rights to students and the public to use the Welsh language when they come into contact with the University. In conducting research in Wales, all those involved in the research, including partners, are encouraged to consider the audience and research subject carefully when reaching a final conclusion as to whether to provide bilingual questionnaires, forms etc thus giving due consideration for persons to use the Welsh language.

13. Health and Social Care Research

Any health and social care research requires an initial due diligence exercise, which will be undertaken by INSPIRE. The purpose of the due diligence exercise is to ensure that the University has the capability to undertake the research, either independently or in collaboration with research partners, and to determine the proportionate level of ethical approval that must be obtained. This will include advice on suitable collaborative arrangements and the appropriate involvement of UWTSD researchers in the proposed research study. For the purposes of this Policy, Health and Social Care research includes, but is not limited, to research involve any of the following:

Outside of NHS settings:

- **a)** Participants who have been recruited on the basis of medical and health conditions, life stage or other physical or mental attribute
- **b)** Participants who will engage in physical exercise, activity or exertion of any kind, or who use exercise equipment, assistive devices or other apparatus for the purposes of the research study. This includes interventions that are minimally invasive.

In any, including NHS, settings:

- **c)** NHS patients
- **d)** NHS staff or premises
- **e)** Clinical trials
- **f)** Confidential patient information
- **g)** Material consisting of or containing human cells
- **h)** Patients who are cared for in private and voluntary sector nursing homes
- **i)** Exposure to ionising radiation
- **j)** Medical devices that are not CE-marked or CE-marked medical devices that have been modified or are being used for a new purpose
- **k)** Investigational medicinal products
- **l)** Practising midwives conducting a clinical trial

m) Protected information from the Human Fertilisation and Embryology Authority register
n) NHS Service Evaluation

Sponsorship

All health and social care research must have a sponsor. The Health Research Authority UK Policy Framework for Health & Social Care sets out principles of good practice in the management and conduct of health and social care research in the UK. These principles protect and promote the interests of patients, service users and the public in health and social care research by describing ethical conduct and proportionate, assurance-based management of health and social care research, so as to support and facilitate high- quality research in the UK that has the confidence of patients, service users and the public. As defined by the Framework, the sponsor is the individual, organisation or partnership that takes on overall responsibility for proportionate, effective arrangements being in place to set up, run and report a research project.

The University will **under no circumstances** act as the sponsor of health and social care research (i.e. that which requires approval by a NHS Research Ethics Committee). In all cases, therefore, an appropriate collaborating partner must lead the research, employ the Principal Investigator and act as the sponsor. Researchers proposing to work on projects involving health and social care research must check whether their study meets the HRA definition of research [1] and whether it should undergo ethics review by a NHS Research Ethics Committee. This can be done via the Health Research Authority's Decision Tool [2]. In all cases INSPIRE should be consulted at the earliest stages of project planning, who will organise an initial due diligence review and provide advice on suitable collaborative arrangements, and the appropriate involvement of UWTSD researchers in the proposed research study.

Sponsor Responsibilities.

The sponsor has overall responsibility for the research, including:

a) Identifying and addressing poorly designed or planned research and poor quality research proposals, protocols or applications and ensuring that research proposals and protocols:
- take into account systematic reviews of relevant existing research evidence and other relevant research in progress,
- make appropriate use of patient, service user and public involvement, and
- are scientifically sound (e.g. through independent expert review), safe, ethical, legal and feasible and remain so for the duration of the research, taking account of developments while the research is ongoing;

b) Satisfying itself that the investigators, research team and research sites are suitable;

[1] https://www.hra-decisiontools.org.uk/research/docs/DefiningResearchTable_Oct2022.pdf
[2] https://www.hra-decisiontools.org.uk/research/

c) Ensuring that roles and responsibilities of the parties involved in the research and any delegation by the sponsor of its tasks are agreed and documented;
d) Ensuring adequate provision is made for insurance or indemnity to cover liabilities which may arise in relation to the design, management and conduct of the research project; and
e) Ensuring appropriate arrangements are made for making information about the research publicly available before it starts (unless a deferral is agreed by or on behalf of the research ethics committee); agreeing appropriate arrangements for making data and tissue accessible, with adequate consent and privacy safeguards, in a timely manner after it has finished; and ensuring arrangements for information about the findings of the research to be made available, including, where appropriate, to participants;
f) Ensuring that, where expected or required, the research has approval from a research ethics committee and any other relevant approval bodies before it begins;
g) Verifying that regulatory and practical arrangements are in place, before permitting the research to begin in a safe and timely manner;
h) Putting and keeping in place arrangements for adequate finance and management of the research project, including its competent risk management and data management;
i) Ensuring that effective procedures and arrangements are kept in place and adhered to for reporting (e.g. progress reports, safety reports) and for monitoring the research, including its conduct and the ongoing suitability of the approved proposal or protocol in light of adverse events or other developments.

Compliance

Research which has been approved by an NHS Research Ethics Committee (REC) through the NRES (National Research Ethics Service) will not require further Ethics approval from the UWTSD Ethics Committee. The Chair of the UWTSD Research Ethics Committee, in consultation with the Head of Research Development will provide written confirmation of compliance on behalf of the University, as required by the UK Policy Framework.

14. Research involving Animals

The use of animals in research is tightly governed and monitored by law and by the Home Office, specifically under the Animals (Scientific Procedures) Act 1986 and its accompanying codes of practice and processes. The Act regulates procedures that are carried out on protected animals for scientific or educational purposes that may cause pain, suffering, distress or lasting harm. Under the Act, a protected animal is ‘any living vertebrate, other than man, and any living cephalopod’. The University does not hold a Home Office issued Establishment Licence and therefore researchers must ensure that any proposed work involving animals is either exempt from the Act or falls outside of its scope. Exempted research, for example involving routine veterinary practice or clinical veterinary research, may still require external ethical approval from the Royal Society of Veterinary Surgeons.

When undertaking collaborative research involving animals, the UWTSD Research Ethics Committee must be assured that the partner institution(s) conform to the appropriate regulatory framework or legislation, and have approval from their local Research Ethics Committee. Any such work must follow the guidance of the National Centre for the Replacement, Reduction and Refinement of Animals in Research, known as the 3Rs.

Where animals are being observed in their natural habitat, care must be taken not to damage their environment and, where applicable, official permits must be obtained from the appropriate governing body of the country concerned prior to any animals being disturbed or collected for study.

In all cases, advise must be sought from INSPIRE for any proposed research involving animals, either at UWTSD, or by research collaborators in partnership with UWTSD. This should be at the very early stages of research design, so that an appropriate due diligence exercise can be undertaken.

15. Safeguarding children

Research, at any level (e.g., undergraduate, postgraduate, staff) which involves one-to-one or other unsupervised contact with children will be required to obtain a current enhanced Disclosure and Barring Service check issued for work conducted through the University. The DBS recognises that the Standard and Enhanced Disclosure information is extremely sensitive and personal, therefore it has published a Code of Practice and employers' guidance for recipients of Disclosures to ensure they are handled fairly and used properly. Organisations that wish to use DBS checks must comply with the DBSs Code of Practice. The University's policy is available from Human Resources.

16. Vulnerable Persons

Aside from children and young people, the University does not prescribe a list of those considered to be vulnerable in research terms. In considering whether there are participants whose decision making ability may be constrained, or who may be vulnerable to exploitation or other forms of harm, in any project, researchers should take careful account of the interaction of the research questions, the research design and methodology, and the recruitment criteria and procedures. In particular, researchers should consider the power relations within a research project, including those linked to any gatekeepers who might be involved in access to, identification, or recruitment of participants. This is especially pertinent to a potential research participant's freedom to act in regard to their participation or otherwise in the project (e.g. consent), including their right and ability to withdraw. In considering these issues, researchers should be aware that some groups that are more likely to be vulnerable, often on the basis of historic mistreatment of disadvantaged or institutionalised populations, including but not only prisoners, military personnel, and various categories of disabled people.

Researchers should therefore pay particular attention to historic treatment and current circumstances influencing the potential for participants to be considered vulnerable because they fall into one or more of the following categories:

a) Institutionalised groups;
b) Groups where the capacity to consent might be an issue;
c) Traditionally marginalized, stigmatized, or otherwise disadvantaged groups;
d) People living in dangerous or impoverished conditions or environments;
e) People engaging in risky behaviours;
f) Populations that have been over-researched.

In some cases, participants might be made vulnerable as a result of the sensitivity of the research topic. Sensitive topics include but are not limited to:

g) Those that are not part of everyday discourses, are taboo, or are otherwise stigmatized;
h) Those that relate to criminal or illegal activities;
i) Those that are likely to cause distress to participants.

In considering these issues researchers should carefully consider socio-cultural contexts in identifying sensitivity, and be aware that sensitivity may vary considerably between socio-cultural groups within the same social setting or environment.

This issue of vulnerability is closely linked to questions related to consent. Accordingly, participants should also be considered vulnerable if there are issues related to:

j) Their capacity to consent;
k) Their ability to comprehend and understand the consent process,
l) Their ability to retain information;
m) Ensuring the voluntariness of any consent;
n) Their ability to communicate their consent.

From a data protection perspective, all vulnerable persons (child and adult) require special protection. As set out in Section 6, a DPIA should be carried out whenever working with vulnerable persons.

17. Research in prison establishments and the Probation Service

All researchers wanting to conduct research with staff and/or offenders in prison establishments, the Probation Service regions or within HM Prison and Probation Service (HMPPS) Headquarters are required to formally apply for research approval to the HMPPS National Research Committee (NRC).The NRC exists to ensure:

a. the research applicant, Ministry of Justice (MOJ) and HMPPS attain best value from the research conducted
b. the resource implications and impact of the research on operational delivery is considered
c. the robustness and relevance of the research is adequately assessed
d. matters of data protection/security and research ethics are dealt with in a consistent manner

The NRC process applies to all studies and evaluations which apply recognisable research methods to generate quantitative and/or qualitative information (through a

range of techniques, e.g. monitoring returns, observations, surveys, interviews, focus groups) in order to address specific research questions. Types of research include but are not limited to literature reviews, rapid evidence assessments, systematic reviews, case studies, action research studies, process evaluations, impact evaluations and economic evaluations.

18. Collaborative Research

Research is increasingly conducted on a collaborative basis with a range of public, private and third sector organisations, at national, European and International levels. Consistent with the guidelines in this Policy, each organisation shall submit the research proposal to its own governance systems and research shall not commence until each body is satisfied that all ethical issues have been addressed. The following arrangements must apply:

a) Where the UWTSD is the lead institution, (e.g., on an externally funded grant holds the research contract with the awarding contract or employs the principal / lead investigator), the Research Ethics Committee shall consider the proposed programme of research in its entirety, rather than just those work packages pertaining to UWTSD staff or students.

b) Where UWTSD employs the co-investigator(s), or leads on specific work packages or activities, UWTSD ethics approval is usually only required for the research undertaken by UWTSD staff. The application for ethics approval should however give sufficient detail of the research project in its entirety to allow for a fully informed review by the Research Ethics Committee. If deemed appropriate the UWTSD Research Ethics Committee will consider the ethical implications of the research in its entirety (regardless of whether approval has already been granted externally).

c) Research which has been approved by an NHS Research Ethics Committee (REC) through the NRES (National Research Ethics Service) will not require further Ethics approval from the UWTSD Research Ethics Committee. The Chair of the Research Ethics Committee, in consultation with the Head of Research Development, will provide written confirmation of compliance on behalf of the University, as required by the UK Policy Framework.

In all cases, researchers must comply with the obligations set out on the University's Research Data Management Policy and consider the respective roles of the parties from a controller / processor perspective, if there is any element of joint control and whether data sharing / data processing agreements are required. The Head of Research Development and DPO should be consulted in all cases.

19. Research conducted outside the UK

In international collaborations, partners should agree to conduct their research according to the same high standards of research integrity as expected in the UK and to investigate any suspected deviation from these standards. Researchers must, however, also ensure that they comply with any legal and ethical requirements of the country/ies where the research is taking place. In all cases, an appropriate due diligence assessment to make an informed judgement about partner stability should be undertaken. The UWTSD Policy for Trusted Research and Innovation should be consulted and followed in this regard. Where a risk to the project findings and the potential usages is identified, reasonable and proportionate mitigations should be

implemented in line with UWTSD's risk appetite prior to the collaboration being agreed. Examples of factors that could be taken into consideration when identifying risk are summarised below, and set out fully in the Policy for Trusted Research and Innovation.

a) **Assessment of Partner Suitability.** An appropriate due diligence assessment must be undertaken of potential financial and non-financial collaborative partner organisations and/or individuals. Examples of factors that could be taken into consideration when identifying risk are the nature of the project activity and the envisaged outputs; the potential for unethical or dual-use of project information and/or outputs; the potential for fraud, bribery and corruption.
b) **Legal Framework and Affiliations.** An understanding is required of the legal framework and constitution of the partner organisation and/or the country in which it operates, who it is owned by and whether it has any formal affiliations with other entities such as other businesses, government departments or the military. If any affiliations pose a potential risk to the integrity of the handling of project information or project outputs, then mitigations should be put in place.
c) **Values.** It is important to understand the democratic and ethical values of the country that the partner is based in and where these might differ from our own, and in particular any impacts that may have on the safe conduct of the research and use or research outputs.
d) **Conflicts of Interest.** Ensuring an individual-level awareness of people interacting with UWTSD is essential to assessing potential security related risks. Appropriate due diligence should be undertaken to identify existing or potential conflicts of interest posed by individuals who will have physical and/or virtual access to UWTSD via employment, study, collaboration, visits or access to data.
e) **Managing Information and Knowledge Sharing.** All research data and IP must be processed in accordance with the UWTSD Research Data Management Policy, the Staff IP Policy, and with due regard for the need to safeguard information and knowledge sharing, for Cyber Security and for access control. Sensitive data must be securely stored and, where a shared platform is used for information exchange, data should be logically separated into different locations so that it is only accessible by authorised individuals. Access to sensitive data should only be given to individuals with a clear requirement for access, for the duration that such access is required. The basis for the handling and usage of the data should be clearly specified in either a Collaboration Agreement or Data Sharing Agreement so that it is understood and agreed by all parties prior to information being shared.
f) **Commercial Application.** Collaboration agreements should be in place to ensure that sensitive data and any intellectual assets including intellectual property rights derived from the project are appropriately managed, particularly where there is potential for future commercial outcomes to be realised which could benefit society and the economy including that of the UK.
g) **Intellectual Assets and Intellectual Property Rights.** The intellectual assets including any intellectual property arising from the project should be managed in a professional and business-like manner. This might include deciding when it is most appropriate to seek protection for the intellectual property arising from the project and subsequently how to exploit, assign, license or disseminate it to maximise its impact.

h) **Publishing Project Outputs.** Prior to any collaboration all partners should formally agree when commercially relevant and/or sensitive data and/or findings derived from the project can be made publicly available.
i) **Export Controls.** All project activity and the handling of project outputs must be compliant with applicable export control legislation and any other legal requirements. Please refer to Section 20.

Additionally, the following UKRI principles should be followed for all research being undertaken outside the UK, and particularly in resource-poor settings:

a) Research should be relevant to the country in which it is carried out and sensitive to cultural and political contexts, especially in situations of conflict and when operating in fragile states and areas,
b) Research should be subject to approval by an independent ethics committee in the UK and the host country, while recognising that there are different cultural approaches to ethics and diverse views on ethics,
c) Investigators should pay due consideration to ensuring voluntary participation, in which participants can enter research freely with full information about what it means for them to take part, and that they give consent before they enter the research. This should include ensuring that research participants understand how research differs from aid or intervention projects,
d) Investigators must seek appropriate informed consent (from individuals) which is guided by accessible and meaningful information to participants (for example, translated or presented orally to non-literate participants). This includes participants' right to withdraw, intended uses and potential sharing of research data, and explanation of the limits to confidentiality and circumstances where this may occur,
e) Research must be designed and developed in a way that considered any additional ethical implications in resource-poor settings and conducted in a way that is fair, respectful and honest,
f) Research must be conducted by researchers who are aware of actual or perceived differences in income, status or power, and take relevant steps to mitigate imbalance
g) Research designs should embed capacity strengthening activities both within the lifecycle of the research project, and where possible, beyond,
h) Research should be based upon equitable partnerships with researchers and others in resource-poor settings, which are transparent, of mutual respect and deliver mutual benefits.

20. Export Control

UK export controls are designed to restrict the export and communication of sensitive technology, knowledge or strategic goods and apply equally to the academic community as to any other exporter. Legal controls on transfers of sensitive technology, equipment and software are intended to manage the risks of their being misused to fuel conflict, threaten national security, support terrorism and crime, violate human rights or proliferate Weapons of Mass Destruction. These obligations are set out in the UWTSD Export Control Policy. UWTSD researchers must therefore be aware of export control regulations, recognise when those

regulations apply to their research, seek advice if in any doubt, and take appropriate steps to comply with export control regulations if they apply to their research.

Export controls apply to the physical, electronic or oral transmission outside the UK of the following technologies and or uses:

a) **Direct military use:** Items as listed on the UK Strategic Export Control Lists.
b) **Dual-use technology:** Technologies designed for civilian end uses but have the capability to be used for WMD or military purposes as listed on the Control Lists.
c) **WMD end use**: Items that are not specifically listed on the Control Lists, but are intended, either in their entirety or in part, for WMD purposes. WMD controls only apply if you have been informed of, are aware or suspect WMD end use.
d) **Military end-use**: Items that are not specifically listed on the Control Lists, but you are aware or are informed that the items are (or may be) intended for the incorporation into or for the development, production, use or maintenance of military equipment in a location subject to an arms embargo, or where you are aware that items will be used as parts or components of military goods illegally obtained from the UK.
e) **Sanctions/embargoes**: Items to be exported to a specific country, which is subject to an embargo or sanctions (note that sanctions may include items that are not included on the Control Lists). End use controls apply to sanctioned activities; i.e. an export cannot occur if the exporter knows that the items would be used in relation to a sanctioned activity.

Controls may apply to material goods (e.g. equipment, materials), and also software, data, technology (e.g. blueprints, plans, diagrams, models, specifications, formulae, manuals or instructions) and know-how (through e.g. consultancy or, in some cases, teaching). The following summarises the scope of what counts as an export:

f) **Technology transfer:** the tangible transfer of technology can be in many forms. This includes information either written on physical documents or recorded on other media, such as: USB flash drives, portable hard drives, laptops, tablets. Technology can also be transferred in an intangible form by using electronic media, such as email. Export licenses are required irrespective whether or not the controlled technology is transferred in an encrypted form.
g) **Travelling overseas to conduct research:** hand carrying out of the UK controlled software or technology on paper or saved on a laptop, mobile phone or memory device. Computers and other electronic devices which you take with you on overseas trips may contain software or information (e.g. files or emails) that are subject to controls or might pose a risk to national security.
h) **Transfer by phone or video-conferencing**: export controls apply where the technology is contained in a document and transmitted by audio or video-conferencing means. This applies when the relevant part of that document is read out or described in such a way as to achieve substantially the same result as if it had been read out. A license is also required where presentations display controlled technology and are viewed by overseas audiences. This may include screensharing to individuals or a wider audience.

Licenses will also be required where recordings of presentations containing controlled technology are viewed by overseas audiences.

i) **Transfer by email:** emails containing controlled technology, either in the body of the message or as an attachment, require an export licence based on the transfer to the known location of the overseas intended recipient. This means you have a responsibility to find out where someone is in the world before sending an email containing controlled information. Sending overseas any images of controlled technology contained in documents or papers would require a license.
j) **Transfer using laptops, phones and memory devices:** if a laptop, phone or a memory device with stored controlled technology is taken overseas by any individuals this is a transfer and a license will be required. This also applies to visitors from overseas importing or downloading export controlled material in to the UK and subsequently travelling overseas with devices containing the controlled technology.
k) **Cloud storage and routing:** technology can be stored on servers and downloaded or accessed remotely. This is often referred to as cloud storage. For the purposes of UK export controls the location of the exporter and the intended recipient determines the routing of the transfer of technology, not the location of the servers containing the controlled technology.
l) **Physical exports:** Permanent or temporary, out of the UK of controlled equipment, components, materials, samples, chemicals and biological agents, and of software or technology stored in a physical format.
m) **Hosting foreign visitors:** if you host visitors from countries that pose security risks you must make sure you do not share information with them that is judged to pose a risk to national security.
n) **Working as an overseas consultant:** you will be subject to export control regulations if you provide expertise as an overseas consultant to countries or individuals that are judged to pose a risk to national security.
o) **Employing foreign nationals as part of your research team:** research students and colleagues returning home will often 'export' what they learned; sometimes, they may export materials or equipment. In view of this, they may have to be excluded from some research projects or denied associated information.

The UWTSD Export Control Policy provides a detailed consideration of the questions those undertaking research in the University should ask, and the decisions and actions that should be taken based on this information. This outlines a six-stage test to assess the impact of export control, which should be followed:

i. Will an export be taking place?
ii. If so, does it involve the export of strategic goods or technology (“Controlled Items”)?
iii. Is there a known military end-use?
iv. Does an exemption apply?
v. Do any sanctions apply?
vi. If the research using US-controlled items?

Further advice should be sought from INSPIRE.

21. Intellectual Property

It is important that researchers consider whether Intellectual Property may be generated by their project and that they are aware of the University policy on Intellectual Property Rights. Provisions for the management of Intellectual Property (IP) are set out in the University's Intellectual Property Policy for Staff and Intellectual Property Policy for Students. Those seeking ethical approval for research are encouraged to contact INSPIRE to discuss the management of IP where IP will be generated through the research. This is particularly important where the proposed research is undertaken with collaborative partners, is funded, or has commercial potential. In other instances, issues of confidentiality may arise, in which case INSPIRE will coordinate appropriate Non-Disclosure or Confidentiality Agreements.

22. Insurance

All research undertaken by the University's staff and students must be adequately covered by the University's Insurance provisions. The University's insurance policy will in most cases provide adequate cover and this will be checked as part of the ethical approval process. Researchers should be aware however that research in the health sector (for instance, working with medical devices, or in clinical settings, or where any medical intervention is undertaken) may require additional insurance to be put in place. In all such cases, research should on no account commence until ethical approval has been granted. Indemnity issues for research are coordinated by INSPIRE and applicants may wish to discuss indemnity prior to the application for ethical approval.

23. Approval

Applications for ethical approval should be submitted for consideration as early as possible. All projects must be signed off from an ethics perspective before that part of the work for which approval is being sought begins.

If projects are approved research may proceed. The applicant and in the case of student work, the supervisor(s) will receive a communication to this effect from the Research Ethics Committee. Projects will be approved for the duration of the research process subject to resubmission should the nature of the research change or on the identification of unforeseen ethical implications that arise during the research process.

If projects are approved subject to amendments the applicant and supervisor(s) will receive a communication to this effect that indicates the minor points that require clarification. The project should be amended and re-submitted to the Ethics Committee for approval.

If projects are not approved because they contain major flaws the applicant and supervisor(s) will receive a communication from the Ethics Committee, detailing the issues to be addressed. The project must be substantially revised and re-submitted to the Ethics Committee for approval. Where a project is not approved because it contains a major flaw, where the use of personal data is involved in the project, the DPO should be consulted. A new DPIA should also be carried out.

24. Continued review of all research projects

Staff undertaking and supervising research shall be continually review the involvement of participants, the subject matter and data sources, and methods employed for on-going and unforeseen ethical issues. All postgraduate research conducted for research degrees shall be reviewed for on-going and unforeseen ethical issues during the various points of a research degree candidature:

- Progress reviews with the supervisory team
- Submission of full research proposal
- Upgrade from MPhil / PhD (where applicable)
- Successful completion of Probationary Period (where applicable)
- Annual progress review

For all research, at undergraduate, postgraduate and staff levels, if projects which have initially been judged not to have ethical implications change and do subsequently have ethical dimensions it is the responsibility project supervisors for all supervised research, or in other cases the staff responsible for the research, to ensure that ethical scrutiny procedures are invoked and followed through.

In all cases any adverse events occurring during the conduct of research projects must be reported to the Research Ethics Committee. In such cases the researcher, whether staff or student, shall withdraw from the research process with immediate effect until notified by the Research Ethics Committee that the University is satisfied that the research design has been modified in such a way as to mitigate further harm. Researchers and supervisory teams should consult with the DPO and the Chair of Research the Ethics Committee where any potential or actual concerns arise from a data protection compliance perspective.

25. Research Misconduct

Research misconduct is characterised as behaviour or actions that fall short of the standards of ethics and integrity, research and scholarship required to ensure that the integrity of research is upheld. It is a problem because it can cause harm (for example to patients, the public and the environment), damages the credibility of research, undermines the research record, and wastes resources.

The Concordat to Support Research Integrity recognises that academic freedom is fundamental to the production of excellent research. This means that responsibility for ensuring that no misconduct occurs rests primarily with individual researchers. However, the University as an employer of researchers has an active role to play in sustaining research integrity as enshrined in this Policy. Research misconduct can take many forms, including:

- **Fabrication**: making up results or other outputs (e.g., artefacts) and presenting them as if they were real
- **Falsification**: manipulating research processes or changing or omitting data without good cause
- **Plagiarism**: using other people's material without giving proper credit
- **Failure to meet ethical, legal and professional obligations**: for example, failure to declare competing interests; misrepresentation of involvement or

authorship; misrepresentation of interests; breach of confidentiality; lack of informed consent; misuse of personal data; and abuse of research subjects or materials
- **Improper dealing with allegations of misconduct**: failing to address possible infringements such as attempts to cover up misconduct and reprisals against whistle-blowers

This list is not intended to be exhaustive. Honest errors and differences in, for example, research methodology and interpretations are not examples of research misconduct.

Dealing with Allegations of Research Misconduct: Undergraduate, Taught Post-Graduate and Postgraduate Research Degrees

The procedures for dealing with allegations research misconduct in undergraduate and taught postgraduate programmes and postgraduate research programmes are set out in the UWTSD Academic Misconduct Policy, which should be followed in all cases.

Reporting Allegations of Staff Research Misconduct

Anyone who has concerns regarding the rigor and integrity of the research carried out by a member of staff at the University should report these through the process established in the UWTSD Whistleblowing Policy.

The aims of the Whistleblowing Policy are:

a) To encourage staff to report suspected danger or wrongdoing as soon as possible, in the knowledge that their concerns will be taken seriously and investigated as appropriate, and that their confidentiality will be respected.
b) To provide staff with guidance as to how to raise those concerns.
c) To reassure staff that they should be able to raise genuine concerns without fear of reprisals, even if they turn out to be mistaken.

Procedure for Investigating Allegations of Staff Research Misconduct

Allegations of research misconduct will be handled through the UWTSD Disciplinary Policy.

Cross-Institutional Research

Should an allegation of misconduct involve individuals from institutions other than the UWTSD, the Investigating Officer will contact their counterpart(s) at the other institution(s) to agree:

a. whether one institution will be nominated as the lead institution to investigate the allegation, or whether each institution will investigate separately, and
b. how each institution will be involved in the process (for example, by providing panel members).

Reporting to Third Parties

Where contractually required, third parties such as Research Councils, must be informed of allegations of research misconduct. Following investigation, where an allegation of research misconduct has been upheld, the Investigating Officer will inform all relevant third parties (for example, editors of journals in which the respondent has published articles in order to correct the research record).

26. Monitoring

In meeting the requirements of the Concordat, the University will take steps to ensure that this policy is implemented, and that in doing so it:

- contributes to a research environment which promotes and embeds a commitment to research integrity,
- that we periodically review our processes to ensure that these remain fit for purpose,
- that suitable processes are in place to deal with misconduct.

The commitment to research ethics and integrity is made in the University's Research and Innovation Strategy, delivery of which is overseen by the Research Committee. The Committee receive reports from the Research Ethics Committee as a standing item of each agenda, Performance against the Strategic Action Plan for Research Integrity (Annex 7 of the R&I Strategy) will be monitored at each committee and subsequently reported to Senate and Council. To promote further accountability, the University will Produce an annual Research Integrity Report, which will be presented to the University Council, and subsequently be made publicly available on the UWTSD website.

27. Misuse of Policy

Failure to follow the University's guidance on ethical review of research may result in disciplinary action. If an individual becomes aware that ethics approval should have been sought then a form should be submitted as soon as possible, with an explanation concerning the reasons for later submission. Where the Research Ethics Committee become aware that research is being conducted in breach of these policies and procedures or of researchers who are not complying with them, the matter may, in relevant cases be resolved by informal discussion with the researchers and remedial action being taken by them. However, where necessary the matter may be formally presented to the University Research Ethics Committee. The matter will be reported to the University's DPO where it is considered that a personal data breach may have occurred or has occurred as a result of the unauthorised research, or that there has been or may have been unlawful processing of personal data as a result of the unauthorised research. Ultimately non-compliance that cannot be resolved through the channels mentioned previously may become a disciplinary matter. Please also refer to **Section 20** regarding the University's procedures for handling suspected cases of Research Misconduct.

28. Links to other policies / procedures

- UWTSD Research and Innovation Strategy
- UWTSD Research Data Management Policy
- UWTSD Open Access Research Policy
- UWTSD Export Control Policy
- UWTSD Trusted Research and Innovation Policy
- UWTSD Staff IP Policy
- UWTSD Student IP Policy
- UWTSD Whistleblowing Policy
- UWTSD Academic Misconduct Policy
- UWTSD Copyright Policy

Policy author(s):

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Head of Research Development

Document version control

Version No:	Reason for change:	Author:	Date of change:
Draft V3	Research Committee consideration.	Matt Briggs	06.03.24
Draft V4	Research Ethics Committee consideration and approval	Matt Briggs	27.03.24
Draft V5	Doctoral College Consideration and approval.	Matt Briggs	08.05.24
Draft V6	HR Review of Research Misconduct process. Research Committee consideration and approval.	Matt Briggs	12.06.24
Final V1	Senate. Approved	Matt Briggs	12.11.25

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For publication: on UWTSD website and intranet

Approval
The policy will be formally considered and approved in accordance with Committee Terms of Reference outlined in the Academic Quality Handbook.

If the policy affects staff, advice should be sought from HR at the outset to ascertain if consultation is required at JCC. HR will also provide advice on the most appropriate stage to consult with JCC and on whether approval by Council is required

ALL policies submitted for approval must be accompanied by a completed:

- *Equality and Welsh Language Impact Assessment*
- *Institutional Impact Assessment*
- *Data Protection Impact Assessment*

Prior to submission to committee, authors are asked to consult the Policy and Planning Team who will check that the document complies with University requirements. The Policy and Planning Team will complete the section below.

For completion by the committee secretary

Please tick to confirm the following:

An institutional Impact Assessment has been completed ☒

An EIA and Welsh Language Assessment has been completed ☒

A DPIA has been completed ☒

Matters requiring consideration by the approving committee:

Prifysgol Cymru
Y Drindod Dewi Sant
University of Wales
Trinity Saint David