

Code of Good Research Practice

The *Code of Good Research Practice* outlines the acceptable behaviours and ethical practices expected of a researcher at Swansea University. The document sets out guidance and recommendations, developed with reference to the UKRIO guidance.

[Code of Practice for Research - UK Research Integrity Office](#)

Researchers are encouraged to consult the [University Policy Framework on Research Integrity: Ethics & Governance](#) for the various policies and guidance on Research Integrity, Ethics and Governance.

I. Purpose & Introduction:

The *Code of Good Research Practice* (hereafter referred to as 'The Code') is designed to encourage good conduct in research and to help prevent breaches of research integrity such as accidental or unintentional mistakes, questionable research practices (QRPs), and misconduct. The Code also encourages good research culture by setting out the standards, behaviours, and responsibilities expected of researchers conducting research within the University premises, with or without using research funds, the University facilities and resources. The same principles of good research conduct also apply when university staff and students are working elsewhere, e.g. field work, external lab work, conferences etc.

Where some of the principles set out below may not be wholly compatible with each other or could be in conflict (for example, openness and confidentiality), there may be a need to find compromises in the execution of these principles. Any necessary balance must be considered, justified, and documented with the principles around professionalism, transparency and accountability upheld.

II. Principles:

The University expects all researchers to abide by the principles set out in 'The Code'. These principles have been drawn from the [Concordat to Support Research Integrity](#) and the [UKRIO Code of Practice in Research](#).

Recognising that many forms of guidance exist already, The Code provides guidance to all researchers in all subject areas. It encourages researchers:

- a. To be **accountable and responsible** for the validity and reliability of their work.

- b. To **conduct research ethically** and ensure that all research receives appropriate ethical approval through the [online research ethics system](#).
- c. To **conduct research truthfully, with integrity and honesty**, and report the methods, data, and findings truthfully **avoiding fabrication, falsification, or selective reporting of results**.
- d. To **work with transparency and openness**, sharing data, methods, and findings openly & accurately ([Swansea University Research Publications Policy - Effective Research Publishing Handbook - LibGuides at Swansea University](#))
- e. To **keep detailed records of research processes and decisions** and use appropriate, transparent, and reproducible methods.
- f. To **disclose funding sources, conflicts of interest, and affiliations**.
- g. To **ensure compliance with relevant laws, regulations, and institutional policies**, protecting the integrity and safety of their work, and the reputation of the University.
- h. To **supervise and mentor** earlier career researchers with fairness and care.
- i. To **respect** and be **sensitive** to cultural and social considerations of all members of the research ecosystem.
- j. To **respect and protect the privacy, confidentiality, safety, & dignity** of all participants and stakeholders.
- k. To be **sensitive to cultural, social, and ethical considerations** and ensure that informed consent is obtained wherever applicable.
- l. To **ensure that all contributors are appropriately credited** where possible, regardless of a person's role.
- m. To **reflect on and improve research practices** regularly, stay informed about developments in their field and in research ethics.
- n. To **seek peer view and constructive feedback** to strengthen the quality of their work
- o. To **minimise the negative impact to the environment** in terms of experimental practices, equipment and consumable use, travel, printing etc. (Swansea University LEAF guidance: <https://www.swansea.ac.uk/sustainability/labs/> Lab Policies and Procedures: <https://www.swansea.ac.uk/sustainability/ems/#labs-content> Lab Waste Procedures: <https://www.swansea.ac.uk/sustainability/waste/>)
- p. To **minimise the negative impact on people**, particularly underrepresented groups or those with protected characteristics.
- q. To **minimise negative impact on animals**, in line with the principles of the 3Rs (Replacement, Reduction, and Refinement) as outlined by the [NC3Rs](#).

- r. Policies and guidance on all of the above requirements are available to researchers on the [Research Integrity](#) and [Research & Knowledge Exchange](#) webpages.

III. Leadership:

Leadership for Good Research Conduct (as laid out in this document) is provided by the Pro Vice Chancellor for Research, Innovation & Enterprise who is supported by the Deputy Pro Vice Chancellor for Research Culture, Faculty Associate Deans of Research, Innovation & Impact, & Heads of Schools.

Professorial and all other senior staff are responsible for creating a climate and capacity that ensures that research can be conducted in accordance with good research practice.

Principal Investigators/Research Leaders have the responsibility to ensure that a culture of mutual co-operation is created in which all members of the research team are encouraged to develop their skills and exchange of ideas supportively, fostering positive feedback and criticism. In addition, **all researchers** are responsible for creating an atmosphere of collegiality and mutual respect.

Research Supervisors are expected to have an awareness of realistic expectations of research output relative to other duties.

IV. Culture and Environment:

A positive research culture is a key priority in the University's Research Strategy. The University believes that everyone should be treated with dignity and respect regardless of their status, rank, grade, belief, or any protected characteristics.

Everyone has the right to feel safe, hence bullying and harassment of any kind is completely unacceptable. There are clear policies and procedures in place, to identify and address inappropriate conduct. There may be informal approaches to de-escalating a dispute prior to addressing them through formal procedures. This may include 'informal discussion' and 'assistance' from an independent senior colleague at a School or Faculty.

Researchers should familiarise themselves with the University policies ([Dignity at Work and Study](#), [Whistleblowing](#), [Reporting Allegations of Research Misconduct](#)), adopt and

encourage appropriate behaviours and report any instances of bullying and harassment through appropriate channels.

The University has a research culture action plan, which has been developed in consultation with our Research Community using feedback from research culture cafes and CEDARS (Culture, Employment and Development of Academic Researchers Survey). Swansea is a signatory of the [Concordat to Support the Career Development of Researchers](#) (also known as the Researcher Development Concordat), which provides a framework and a mechanism to **improve the employment, support and career development of researchers**, and to strengthen the research environment and culture. The Research Development Concordat sets out clear expectations and responsibilities for four key stakeholder groups—institutions, funders, managers of researchers, and researchers themselves—ensuring that responsibility for improving research culture is shared across the system.

V. Training:

The University encourages the career development of its researchers and provides research integrity training for new and existing researchers supporting the principles of the Researcher Development Concordat, which encourages researchers to develop their skills, identity and career pathways, including a **recommended minimum of 10 days' professional development per year**.

The University provides a host of mandatory and optional online and face-to-face training for Researchers through [Training and Development - Swansea University & People Services](#)

Many of the training courses are online packages procured from external providers or are conducted with support from the [Research & Knowledge Exchange](#) and [People Services](#) Departments.

Researchers should develop their knowledge and skills including appropriate usage of equipment throughout their career, repeating training where necessary to ensure that skills are kept up to date. The Vitae Researcher Development Framework 2025 (RDF 2025) ([Vitae RDF](#)) supports personal, professional, and career development while aligning with priorities like open research, research integrity, and knowledge exchange.

Alongside staff researchers, the University provides training and development opportunities for PGR Researchers through the PGR Researcher Development and the Vitae RDF (<https://hwb.swansea.ac.uk/pgr/training-and-development/rdf/>).

VI. Supervision/Line Management:

Supervisors and Principal Investigators should ensure that a culture of good practice, respect, and dignity is promoted within their research groups; that any research product (including data) is scrutinised prior to publication/dissemination, and the broader developmental needs of research trainees are considered.

For further guidance: Please refer to the Line Management training options available on the [People Service training pages](#).

Researchers involved in the supervision and development of other researchers should be aware of their responsibilities and ensure that they have the necessary training, time, and resources to undertake that role, requesting support if required.

Early Career Researchers should be enabled to conduct research to the required standards. This may include setting and agreeing research direction and appropriate supervision, including discussions on ‘authorship’ of any outcomes of research.

The above principles also apply to the **supervision of Postgraduate Research Students**. Before agreeing to supervise a student, supervisors should satisfy themselves that they have the necessary knowledge and expertise to supervise the project which the student wishes to undertake; that the project is appropriate for the degree concerned and can reasonably be undertaken with the resources available and in the required timescale. They are confident, as far as is possible, that the student will be supported and trained to undertake the project successfully.

Supervisors of students and Principal Investigators/Team leaders should adhere to the information available in designated systems which indicate the frequency of contact and responsibilities regarding supervision/line management. Supervisors must supervise all stages of the research process, including outlining or articulating a hypothesis, preparing applications for funding, protocol design, data recording and data analysis.

Supervisors are also expected to discuss ‘authorship’ considerations for any publication or any output arising from the students’ research or from any project that the student has contributed to during their time at the University. Data storage and data access requirements should also be clarified at the onset of a research project to remove any ambiguity or concerns to access once the student has completed their project/research.

Supervisors must observe the responsibilities set out in the [PGR Supervision - Swansea University](#) guidelines. Supervisors must complete any mandatory training in supervisory skills that is available online through Canvas and face- to-face through the Research Supervision training programme.

Research students should be aware of and should adhere to the research expectations as laid out in [Expectations - Swansea University](#)

Please contact pgrtraining@swansea.ac.uk for further information.

VII. Conduct of externally funded research

All applications for external research funding will require **costing and pricing approval** via the appropriate faculty Research & Knowledge Exchange (RKE) Hub in advance of submission to a funder. The University is required to cost all research using TRAC methodology and to approve the level of any University contribution in cases where this is required (this applies to all bids, including those to UKRI, charities and the European Commission). The University's aim is to **improve overall cost recovery on research activities** as an important contribution to the institution's financial sustainability.

Investigators are responsible for ensuring that the **outcomes and/or deliverables** associated with any external research grant or contract are **clearly set out and well defined**. Both the research team and funder should be able to identify unambiguously when deliverables have been met according to an agreed project timetable. Investigators should **maintain regular contact with the funder** of a research project and are responsible for ensuring that the funder is informed and content with progress.

Externally funded research should be conducted to the same high standards and in line with the same expectations and values as set out elsewhere in this Code. It is the responsibility of investigators to familiarise themselves with the **legal terms and conditions and obligations** associated with any external award (research grant or contract).

Investigators are responsible for the **financial management of their externally funded research grants and contracts**, to be carried out in accordance with all applicable funder terms and conditions and University policies. This includes ensuring that **all expenditure incurred is eligible** as defined by the specific funder and that expenditure does not exceed the agreed values of individual budget headings nor the value of the overall budget.

VIII. Documenting results and storing primary data:

At the outset of any research project, and for any industry collaborations/research projects, clear processes should be in place to determine the **ownership of the research product** (e.g. data, samples, SOP, protocols).

Researchers must adhere to any legal agreement in place that stipulates the ownership or use of data by each party. They should keep transparent and accurate records of the procedures followed, the approvals granted during the research process, including records of the interim results obtained as well as of the final research outcomes. This is necessary, not only as a means of demonstrating proper research practice, but also in case questions are subsequently asked about either the conduct of the research or the results obtained.

Further information on research data requirements is specified in the following University Policies:

- [University Policy on Research Data](#)
- [University Policy on Research Data Protection & Consent](#)
- [University Library Guide on Research Data.](#)

IX. Publication practice:

The University expects Researchers to ensure that they deposit their Author Accepted Manuscripts (AAMs) in an appropriate repository as close to the acceptance date as possible.

Guidance on the requirements and support for researchers is available on

- [Swansea University Research Publications Policy - Effective Research Publishing Handbook - LibGuides at Swansea University Library Guide on Effective Research Publishing](#)
- [Library Guide on Green Open Access Publishing](#)

Authorship consideration is important in the context of good research practice. Anyone listed as an author on a paper should review and agree to the content of the output and, where appropriate, be able to identify their contribution to it. ***The practice of adding authors by virtue of their position is unacceptable.*** The contributions of formal

collaborators and all others who directly assist or indirectly support the research should be properly acknowledged as detailed in the [CRediT – Contributor Role Taxonomy](#)

The principles of good research practice should be adhered to for other forms of publication and dissemination of research results. Whilst being mindful of disciplinary differences, clear and open discussions on authorship agreements should be undertaken within a research group or in a collaborative project. **Principal authorship** and other publication credits should accurately reflect the relative scientific or professional contribution of the individuals involved, regardless of their relative status.

For example:

- a) Conventions vary from discipline-to-discipline. Hence, discipline-and journal-specific guidance in relation to naming authors must be followed. Some give a higher status to corresponding authors. In some cases, senior authors are listed as last authors. In some disciplines authors are listed alphabetically. Hence, prior to publication, the authorship list including the lead author or lead supervisor must be agreed.
- b) Technicians should be listed in line with the principles laid out in the Guidance on Authorship.
- c) A student should typically be listed as principal author on any multiple-authored article that is substantially based on the student's dissertation or thesis.
- d) It is important to remember that authorship isn't the only mechanism for acknowledging a contribution, and Author Statements and Acknowledgements also have a role in accepting the work of an individual within a research project.

Researchers must abide by any legal agreements in place for industry collaborations which stipulate the use of data by each party (e.g. that data cannot be published without approval from industry partner).

The University [Code of Practice on Authorship](#) provides further guidance on national and international authorship roles and regulations (e.g., [COPE](#), [CRediT – Contributor Role Taxonomy](#) and [ICMJE](#))

X. **Generative Artificial Intelligence (Gen AI)**

With respect to Gen Ai, researchers should adhere to journal protocols regarding ethical use of Gen AI. The [University's framework on Generative Artificial Intelligence](#) provides specific [guidance to researchers](#) on this evolving area.

XI. Collaborative & Responsible Research & Innovation

The University fully supports collaborative work and collaborative research that is supported by legal agreements. The University recognizes the mutual benefits such opportunities can present. Researchers should try to anticipate any issues that may arise because of working collaboratively and agree in advance about how these might be addressed, communicating any decisions to all members of the research team.

The University's position reflects that of [UKRI](#), hence researchers should conduct their work in an ethical and legal manner and should reflect on their own personal and collective motivations for conducting the research. They should anticipate, reflect and engage on the wider ethical and societal impacts in addition to the implications and value of their work. Investigators should enter into dialogue with the public and other stakeholders where appropriate and should respect and take account of the views of others in relation to their research and its potential impacts.

XII. Risks of International Research

If you plan to conduct research outside of the UK, you must be aware of the local regulations, practices and guidelines governing that research. All UK & local permissions must be sought, and in place before the research commences. Agreement on the specific roles of the researchers involved in the project should be reached and issues, such as procedural applicability, ethical frameworks and ethical review, legislation, publication and authorship, data practices and intellectual property must be agreed at the onset of any project & prior to commencing the research. Researchers involved in cross-boundary research collaborations should review the [Montreal Statement on Research Integrity in Cross-Boundary Research Collaborations](#).

International travel comes with its own risks. It is essential that Researchers undertaking international travel plan their trip in a timely manner to ensure that all risks and controls/arrangements have been considered. These include emergency plans and plans for any form of disruption. Researchers are requested to follow the University guidance and procedures to help keep themselves and those they may be travelling with safe [General Health and Safety - Swansea University](#)

The Universities UK [Guidance on Trusted Research](#) outlines the potential risks associated with internationalization which are increasingly dynamic and complex. The guidance summarizes the threats, best practice, and supporting services for UK

universities. It helps researchers, universities, and industry partners to have confidence in international collaboration and make informed decisions around potential risks. It explains how to protect research and staff from potential theft, misuse, and/or exploitation. As a Researcher, you are legally obliged to find out if you need an export license from the [UK Export Control Organisation \(ECO\)](#) for the transfer of goods, technology, software and/or knowledge to another country. It is highly recommended that a researcher starting new international research projects undertake both the research integrity online training module on Export Control and access the training on research security from the [Higher Education Research Security Association \(HERSA\)](#). Access to the HERSA training can be provided by contacting researchintegrity@swansea.ac.uk

Some useful guidance on the above is also available on the following websites:

- [Trusted Research - Academia | Trusted Research | NPSA](#)
- [Trusted research and innovation – UKRI](#)
- [Managing risks in international research and innovation](#)

Your Faculty Research Hub teams will be able to support you with any queries on the area

- [Faculty of Medicine, Health & Life Sciences Research & Knowledge Exchange Hub - Swansea University](#)
- [Faculty of Science & Engineering Research & Knowledge Exchange Hub - Swansea University](#)
- [Faculty of Humanities & Social Sciences Research & Knowledge Exchange Hub - Swansea University](#)

XIII. Review and Acknowledgments

'The Code' has been developed with assistance and contributions from a '**Task & Finish Group**' comprising of the Academic Staff members from each of the three Faculties (Dr Laura Wilkinson, Dr Adesola Ademiloye, Dr Natalie De Mello, Dr Sarah-Jane Dunlop-Potts, Dr Fritz-Gregor Herrmann, Dr Katie Preece, Dr April Rees, & Professor Ian Walker) and Mrs. Anjana Choudhuri (Research Integrity Compliance Lead; Research & Knowledge Exchange).

'The Code' has been approved by the University Research Integrity: Ethics & Governance committee, the Research, Innovation & Impact committee & the University Senate. The Code will be reviewed every five years to ensure it is up to date with relevant regulations and practices.

The University is grateful for the guidance available from [UKRIO](#), [UKRI](#), and other UK Higher Education Institutions (e.g., Cardiff University, University of Exeter, University of York, University of Nottingham to name a few) whose Codes of Conduct for Research practice & Research Ethics have been consulted during its development.

XIV. Resources:

All University policies & Guidance for Research & Research Governance are available on the University Research Integrity webpages.

[Research Integrity: Ethics and Governance - Swansea University](#)

- XV. Contact:** Please contact researchintegrity@swansea.ac.uk for any questions or queries regarding 'The Code'.