





inappropriate manipulation and/or selection of data, imagery and/or consents; any other kind of fraudulent behaviour.

- **Plagiarism:** This includes the copying or misappropriation of ideas (or their expression), text, software, or data (or some combination thereof) without permission and due acknowledgement. Researchers are strongly encouraged to agree and record in advance with any co-authors and research assistants how any work carried out by them will be attributed in publications. Self-plagiarism (“presenting one’s own previously published work as though it were new”<sup>8</sup>) while not considered to be misconduct is deemed poor practice in all but limited circumstances<sup>9</sup>.
- **Misrepresentation:** this includes:
  - (i) Misrepresentation of data, for example suppression of relevant findings and/or data, or knowingly, recklessly or by gross negligence, presenting a flawed interpretation of data;
  - (ii) Undisclosed duplication of publication, including undisclosed duplicate submission of manuscripts for publication;
  - (iii) Misrepresentation of interests, including failure to declare material interests either of the researcher or of the funders of the research, including failure to disclose the fact that research has been funded by the subject or commissioner of the research;
  - (iv) Misrepresentation of qualifications and/or experience, including claiming or implying qualifications or experience which are not held;
  - (v) Misrepresentation of involvement, such as inappropriate claims to authorship and/or attribution of work where there has been no significant contribution, or the denial of authorship or full acknowledgement where another researcher or author has made a significant contribution.
- **Mismanagement or inadequate preservation of data and/or primary materials.** This includes failure to:
  - (i) Keep clear and accurate records of the research procedures followed and the results obtained, including interim results;
  - (ii) Hold records securely in paper or electronic form;
  - (iii) Make relevant primary data and research evidence accessible to others for reasonable periods after the completion of the research: data should normally be preserved and accessible for seven years, but for projects of clinical or major social, environmental or heritage importance, for 20 years or longer;
  - (iv) Manage data according to the research funder’s data policy and all relevant legislation;
  - (v) Wherever possible, deposit data permanently within a national collection. Responsibility for proper management and preservation of data and primary materials is shared between the researcher and the research organisation.
- **Breach of duty of care,** which may involve but not be limited to the following:

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<sup>8</sup> American Psychological Association (2010) *The Publication Manual of the American Psychological Association*. Sixth Edition, p.170.

<sup>9</sup> *Ibid*, p.16



protected from any type of punitive action, provided the disclosure is made in good faith. However, members of the School should bear in mind that an allegation of academic impropriety is serious and potentially defamatory, and if made maliciously could lead to the threat (or even the instigation) of legal proceedings.

12. There is a distinction between poor practices, such as weak record-keeping, which can be corrected or prevented by training, and unacceptable types of research misconduct such as those highlighted in §9 above. Minor infractions, where there is no evident intention to deceive, may be addressed informally through mentoring, education and guidance.
13. Researchers should comply with the School's policies and procedures on researcher safety and work with the relevant professional services divisions to enable the School to exercise its duty of care with respect to their safety.

### **Responsibilities of the School**

14. As per §11 above, individuals are responsible for ensuring compliance with the Code. However, Departments, Institutes and Research Centres are responsible for promoting standards of good research conduct and ensuring that all staff and students receive appropriate training in standards of research conduct and research ethics as appropriate to their research. The School undertakes to provide the appropriate environment to promote good research conduct and will endeavour to underpin all of its work with the highest standards of ethics and integrity and to ensure that research is conducted in accordance with the principles of independence, rigour, objectivity, fairness and professionalism. The School also undertakes to ensure that transparent, robust and fair processes are in place to handle allegations of misconduct fairly and effectively.
15. The School will monitor, and where necessary improve, the suitability and appropriateness of the mechanisms in place to provide assurances over the ethics and integrity of research conducted by those subject to this Code.

## **IV Procedures for the investigation of allegations of misconduct**

16. The following principles will underpin the investigation of allegations:
  - i) Investigation is a neutral act to establish whether it is necessary to invoke the formal disciplinary procedures.
  - ii) Any investigation will be carried out as fully, fairly and expeditiously as possible.
  - iii) Confidentiality will be maintained throughout the investigatory stage.
  - iv) No-one making an allegation of misconduct in research will be victimised for having made an allegation.
  - v) However, it is recognised that the School must protect staff from allegations which are mischievous, frivolous and malicious or reckless or wholly without substance; appropriate action will be taken against any person who is found to have made a malicious or reckless allegation.
  - vi) Researchers who are found not to have committed research misconduct will be supported and appropriate steps taken to restore their reputation and that of any relevant research project(s).

vii) A member of staff against whom an allegation of misconduct is formally made and investigated will be given full details of the allegation and may be accompanied when interviewed as part of the investigatory process.

17. In order to uphold the reputation of the School, and to protect the interests of any relevant funding bodies or publishers, investigations of research misconduct will not be terminated on account of the member of staff or student under investigation leaving the School. Staff and students who have left the institution will be invited to continue to participate. Should they choose not to, the School may continue to consider the allegations against them in their absence.
18. This procedure will be followed for allegations of research misconduct received in the context of the School's Whistleblowing (Public Interest Disclosure) Policy<sup>10</sup>.
19. Any conflicts of interest must be avoided and those who have any personal interest, real or perceived, in the allegation should be disqualified from acting as Screener or undertaking any other role in the investigation.
20. The following definitions apply for the purposes of this Policy:

**Research:** This policy adopts the definition used by the Funding Councils for REF2014: "...research is defined as a process of investigation leading to new insights, effectively shared. It includes work of direct relevance to the needs of commerce, industry, and to the public and voluntary sectors; scholarship; the invention and generation of ideas, images, performances, artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction. It excludes routine testing and routine analysis of materials, components and processes such as for the maintenance of national standards, as distinct from the development of new analytical techniques. It also excludes the development of teaching materials that do not embody original research."

**Complainant:** The person, or persons, bringing an allegation of research misconduct. The Complainant may or may not be a member of the University.

**Named Person:** The individual nominated by LSE to have responsibility for receiving allegations of research misconduct. They will initiate and supervise the procedure for investigating allegations of research misconduct. The Named Person is the LSE School Secretary. In the case of any conflicts of interest a nominated alternate will carry out this role. This will be a nominated ex-Head of Department.

**Respondent:** The person, or persons, against whom the allegation of research misconduct is made.

**Screener:** The person nominated to investigate the allegation and determine whether there is a *prima facie* case for a formal investigation.

**Prima facie case:** a case where the Named Person has concluded that the Complainant has presented sufficient evidence to support a claim of research misconduct.

### Preliminary investigation

<sup>10</sup> See <http://www.lse.ac.uk/intranet/LSEServices/policies/pdfs/school/lsePubIntDisPro.pdf>

21. An allegation of research misconduct must be made in writing, supported by a detailed written statement substantiating the allegation, to the School Secretary (the Named Person) via the email address [research.ethics@lse.ac.uk](mailto:research.ethics@lse.ac.uk). The School Secretary (supported by the Research Governance Manager) will formally acknowledge receipt of the allegation in writing to the Complainant and advise him/her of the Procedure that will be followed.
22. The identity of the Complainant shall be kept confidential. Exceptionally, if the School Secretary judges that revelation of the identity of the Complainant is essential to the fairness of the proceedings, then the Complainant will be asked to agree to the disclosure of his/her identity, or to withdraw the allegation.
23. Where necessary, immediate action will be taken to prevent any further consequences/risks of the alleged misconduct.
24. The School Secretary will review the nature of the allegations and assess whether there is a *prima facie* case that warrants further investigation (i.e. whether the complaint falls within the definition of research misconduct as outlined above). This should be completed within 10 working days of receipt of the allegation.
25. If the School Secretary deems that the allegation is not serious or may be the result of a misunderstanding or dispute between individuals, attempts will be made to resolve the situation by informal discussion, arbitration or dispute resolution.
26. If the School Secretary determines that the allegation is mistaken or malicious, the allegations will be dismissed, and this will be communicated in writing to the Complainant (and any other party who had been informed initially of the allegation), setting out the reasons why the allegation cannot be investigated under the Procedure.
27. If the School Secretary decides that the allegation is vexatious, malicious or otherwise an abuse of process then s/he may invoke appropriate disciplinary action against the Complainant, or legal action if the Complainant is not a member of the School.
28. Those who have made allegations in good faith will not be penalized.
29. If the School Secretary determines that the allegations cannot be discounted, he/she will inform the Respondent of the allegation and the procedures under which it is to be investigated. The Respondent will be given the opportunity to respond to the allegations.
30. The School Secretary will inform the Director and the relevant Head of Department or Research Centre Director that the allegation has been received. Where necessary the directors of Human Resources, Research Division, and Finance will also be informed. Any such communications will emphasize that the allegations are as yet unproven and that the information is confidential.
31. In accordance with the current requirements of Research Councils UK, where the Respondent is currently funded by RCUK (either for the research in question or other research) LSE will be required to inform the relevant Council. However, only anonymised data will be provided to the research council, unless the School Secretary deems that the nature of the allegation is sufficiently serious – for instance where there is a risk of harm to others – that identifiable information should be provided, in confidence, to the council.

**Screening stage**

32. Where the School Secretary has determined that the allegation cannot be discounted, s/he will appoint a Screener to investigate the allegation and determine whether there is substance to the case. The Screener will collect relevant documentary evidence from the Complainant and the Respondent. This may include, but will not be limited to, research notebooks, papers, witness statements and computer records. If necessary, the Screener may seek advice in writing from experts both within the School and outside.
33. Within 30 working days of appointment of the Screener, the Screener will submit a confidential written report to the School Secretary together with any documentation collected during the investigation and any written comments submitted by the Respondent. The report will advise the School Secretary either:
- i) The allegation has no substance, or:
  - ii) The allegation has substance.
34. The School Secretary will review the advice and findings of the Screener and will decide:
- i) That the allegation has no substance and is dismissed, or:
  - ii) That the allegation has substance but may be dealt with under informal procedures, or:
  - iii) That the allegation has substance and may constitute good cause for disciplinary proceedings to be taken in accordance with the relevant section of the Academic Annex<sup>11</sup> (in relation to Academic staff or contract researchers) or the appropriate disciplinary regulations (in relation to other staff and to students).
35. The School Secretary will notify both the Complainant and the Respondent in writing of his/her decision within 30 working days of his/her receipt of the advice and findings of the Screener. S/he will also notify the Director and the relevant Head of Department or Director of Research Centre or Institute of the decision.
36. As per §27 above, if the School Secretary decides that the allegation is vexatious, malicious or otherwise an abuse of process then s/he may invoke appropriate disciplinary action against the Complainant, or legal action if the Complainant is not a member of the School.
37. Those who have made allegations in good faith will not be penalized.

**Formal investigation**

38. As per §33(iii) above, where the School Secretary has decided that an allegation has substance and that a formal investigation under the Academic Annex is appropriate, such an investigation will be undertaken. To avoid duplication, evidence gathered as part of the screening conducted under this Code of Research Conduct may be used in the subsequent formal investigation and in the course of any disciplinary proceedings, as appropriate.

<sup>11</sup> <https://www.lse.ac.uk/intranet/staff/humanResources/internal/pdf/academicAnnex.pdf>



39. The School Secretary will ensure that appropriate administrative action is taken as necessary to protect the interests of any relevant funding bodies or publishers and to meet all contractual obligations.
40. All documents relating to the investigation must be collected and forwarded to the Director of the Research Division to be filed for a period of six years. The data will be kept securely and in accordance with the rights of the data subjects.
41. A report on allegations of misconduct and their outcome, where appropriate, will be made to the Research Committee annually. The Higher Education Funding Council for England also requires an annual report as a condition of their Financial Memorandum. Data will be anonymised.

**Review schedule**

Review interval	Next review due by	Next review start
3 years	AY 2019-20	September 2019

**Version history**

Version	Date	Approved by	Notes
v13	September 2016	Chair RC, Oct 16; VCAB Jan 17	
v14 (c)	November 2017	RC, Oct 17; VCAB, Nov 17;	Due to changes in RCUK policy, Apr 17

**Contacts**

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## Annex A: School and external resources

### 1. LSE Resources

**Academic Annex.** The Academic Annex can be found at:

<https://www.lse.ac.uk/intranet/staff/humanResources/internal/pdf/academicAnnex.pdf>

**Data protection policy.** The policy can be found at:

<http://www.lse.ac.uk/intranet/LSEServices/policies/pdfs/school/datProPol.pdf>

And guidance regarding the Data Protection and Research is at:

<http://www.lse.ac.uk/intranet/LSEServices/policies/pdfs/school/datProRes.pdf>

**Data Security policies, procedures and guidelines.** Please refer to the guidance and links at:

<http://www.lse.ac.uk/intranet/LSEServices/IMT/about/policies/home.aspx>

**Ethics Code:** A set of six core principles underpinning life at the LSE. All members of the LSE community, including students, staff, visiting appointments and governors, are expected to behave in line with these principles.

<http://www2.lse.ac.uk/intranet/LSEServices/ethics/home.aspx>

**Health and Safety, travel and field work (School policies and legislation):** Information on the measures that the School is taking to ensure the health, safety, and welfare of everyone who works, studies or visits the premises or may be affected by the activities of the School, as well as those undertaking fieldwork, can be found at:

<http://www2.lse.ac.uk/intranet/LSEServices/healthAndSafety/Home.aspx>

See also Researcher Safety guidance below.

**Intellectual Property:** currently under development – contact the Director of the Research Division for more information.

**Research Data Management:** Guidance can be found at:

<http://www.lse.ac.uk/library/usingTheLibrary/academicSupport/RDM/home.aspx>.

**Research Ethics Policy and Guidelines:** Details of the School's Research Ethics Policy and procedures can be found at:

<http://www2.lse.ac.uk/intranet/researchAndDevelopment/researchPolicy/ethicsGuidanceAndForms.aspx>

**Researcher Safety Policy and Guidance:** For any issues concerning safety please contact:  
[Health.And.Safety@lse.ac.uk](mailto:Health.And.Safety@lse.ac.uk)

**Whistleblowing Policy (Public Interest Disclosure).** See:

<http://www.lse.ac.uk/intranet/LSEServices/policies/pdfs/school/lsePubIntDisPro.pdf>

## 2. External resources

**UUK Concordat to support research integrity**

<http://www.universitiesuk.ac.uk/highereducation/Pages/Theconcordattosupportresearchintegrity.aspx>

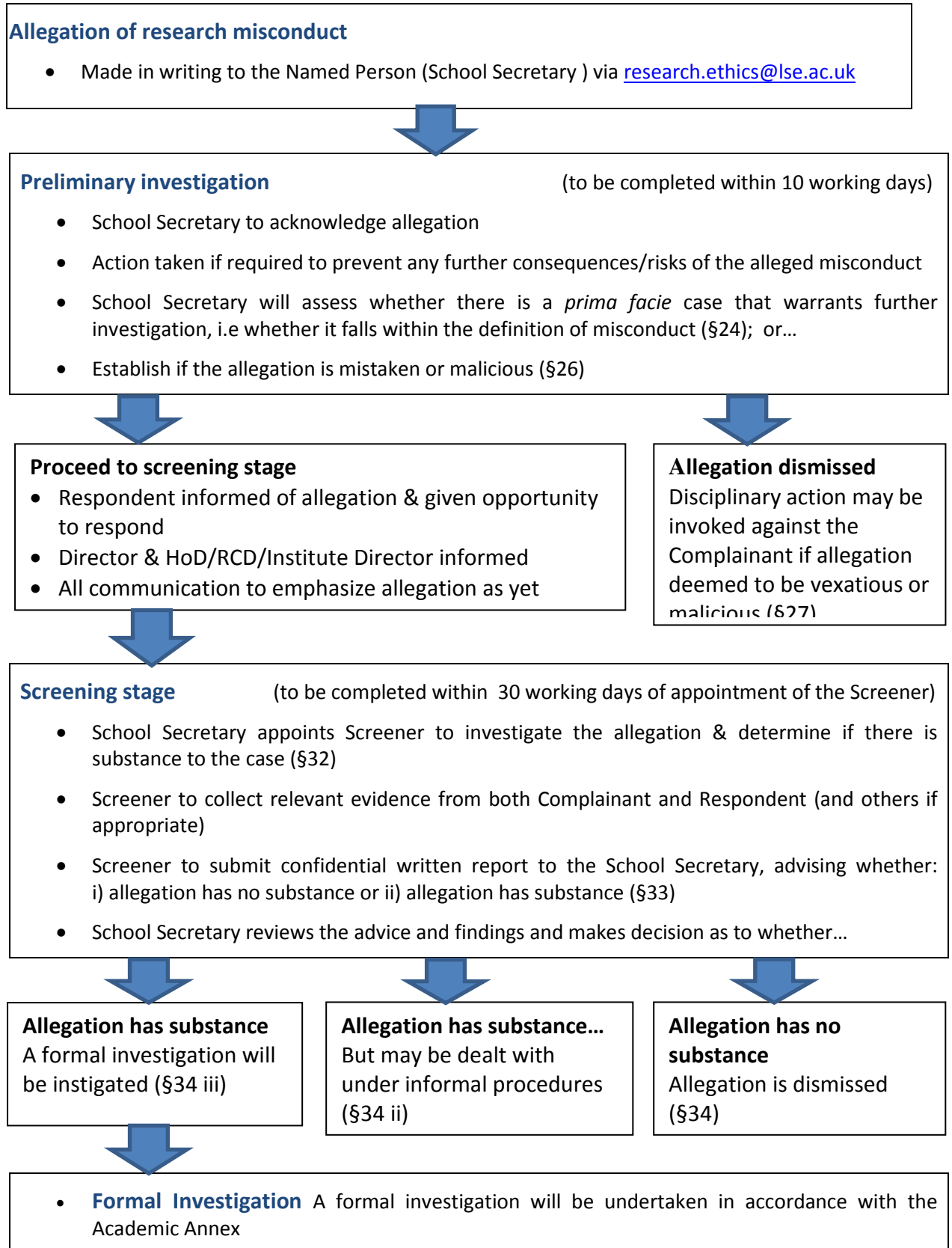
**RCUK Policy and Guidelines on the Governance of Good Research Conduct**

<http://www.rcuk.ac.uk/RCUK-prod/assets/documents/reviews/grc/RCUKPolicyandGuidelinesonGovernanceofGoodResearchPracticeFebruary2013.pdf>

**UKRIO Code of Practice for Research: Promoting Good Practice and Preventing Misconduct.**

<http://www.ukrio.org/what-we-do/code-of-practice-for-research/>

## Annex B: Flowchart of the Research Misconduct Procedure



## Annex C: Publication ethics

The following sections are from the International Committee of Medical Journal Editors (ICMJE) guidance on authorship:<sup>12</sup>

The ICMJE recommends that authorship be based on the following 4 criteria:

- Substantial contributions to the conception or design of the work; or the acquisition, analysis, or interpretation of data for the work; AND
- Drafting the work or revising it critically for important intellectual content; AND
- Final approval of the version to be published; AND
- Agreement to be accountable for all aspects of the work in ensuring that questions related to the accuracy or integrity of any part of the work are appropriately investigated and resolved.

In addition to being accountable for the parts of the work he or she has done, an author should be able to identify which co-authors are responsible for specific other parts of the work. In addition, authors should have confidence in the integrity of the contributions of their co-authors.

All those designated as authors should meet all four criteria for authorship, and all who meet the four criteria should be identified as authors. Those who do not meet all four criteria should be acknowledged—see Section II.A.3 below. These authorship criteria are intended to reserve the status of authorship for those who deserve credit and can take responsibility for the work. The criteria are not intended for use as a means to disqualify colleagues from authorship who otherwise meet authorship criteria by denying them the opportunity to meet criterion #s 2 or 3. Therefore, all individuals who meet the first criterion should have the opportunity to participate in the review, drafting, and final approval of the manuscript.

The individuals who conduct the work are responsible for identifying who meets these criteria and ideally should do so when planning the work, making modifications as appropriate as the work progresses. It is the collective responsibility of the authors, not the journal to which the work is submitted, to determine that all people named as authors meet all four criteria; it is not the role of journal editors to determine who qualifies or does not qualify for authorship or to arbitrate authorship conflicts. If agreement cannot be reached about who qualifies for authorship, the institution(s) where the work was performed, not the journal editor, should be asked to investigate. If authors request removal or addition of an author after manuscript submission or publication, journal editors should seek an explanation and signed statement of agreement for the requested change from all listed authors and from the author to be removed or added.

[...]

Contributors who meet fewer than all 4 of the above criteria for authorship should not be listed as authors, but they should be acknowledged. Examples of activities that alone (without other contributions) do not qualify a contributor for authorship are acquisition of funding; general supervision of a research group or general administrative support; and writing assistance, technical editing, language editing, and proofreading. Those whose contributions do not justify authorship may be acknowledged individually or together as a group under a single heading (e.g. "Clinical Investigators" or "Participating Investigators"), and their contributions should be specified (e.g., "served as scientific advisors," "critically reviewed the study proposal," "collected data," "provided and cared for study patients", "participated in writing or technical editing of the manuscript").

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<sup>12</sup> <http://www.icmje.org/recommendations/browse/roles-and-responsibilities/defining-the-role-of-authors-and-contributors.html>

## Annex D: UKRIO Checklist for researchers

### Recommended checklist for researchers

The Checklist lists the key points of good practice in research for a research project and is applicable to all subject areas. More detailed guidance can be found in section 3. A PDF version is available from [www.ukrio.org](http://www.ukrio.org)

**Before conducting your research, and bearing in mind that, subject to legal and ethical requirements, roles and contributions may change during the time span of the research:**

- 1 Does the proposed research address pertinent question(s) and is it designed either to add to existing knowledge about the subject in question or to develop methods for research into it?
- 2 Is your research design appropriate for the question(s) being asked?
- 3 Will you have access to all necessary skills and resources to conduct the research?
- 4 Have you conducted a risk assessment to determine:
  - a whether there are any ethical issues and whether ethics review is required;
  - b the potential for risks to the organisation, the research, or the health, safety and well-being of researchers and research participants; and
  - c what legal requirements govern the research?
- 5 Will your research comply with all legal and ethical requirements and other applicable guidelines, including those from other organisations and/or countries if relevant?
- 6 Will your research comply with all requirements of legislation and good practice relating to health and safety?
- 7 Has your research undergone any necessary ethics review (see 4(a) above), especially if it involves animals, human participants, human material or personal data?
- 8 Will your research comply with any monitoring and audit requirements?
- 9 Are you in compliance with any contracts and financial guidelines relating to the project?
- 10 Have you reached an agreement relating to intellectual property, publication and authorship?
- 11 Have you reached an agreement relating to collaborative working, if applicable?
- 12 Have you agreed the roles of researchers and responsibilities for management and supervision?
- 13 Have all conflicts of interest relating to your research been identified, declared and addressed?
- 14 Are you aware of the guidance from all applicable organisations on misconduct in research?

**When conducting your research:**

- 1 Are you following the agreed research design for the project?
- 2 Have any changes to the agreed research design been reviewed and approved if applicable?
- 3 Are you following best practice for the collection, storage and management of data?
- 4 Are agreed roles and responsibilities for management and supervision being fulfilled?
- 5 Is your research complying with any monitoring and audit requirements?

**When finishing your research:**

- 1 Will your research and its findings be reported accurately, honestly and within a reasonable time frame?
- 2 Will all contributions to the research be acknowledged?
- 3 Are agreements relating to intellectual property, publication and authorship being complied with?
- 4 Will research data be retained in a secure and accessible form and for the required duration?
- 5 Will your research comply with all legal, ethical and contractual requirements?