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Summary

The Research Code of Practice sets out the principles that govern the conduct of research at The Open University, and the standards for good research practice. It applies to postgraduate research students, and Open University staff and visiting academics conducting, managing, supervising or supporting research.

Summary of significant changes since last version

There are a number of significant changes from the previous version of this policy. These are:

- a) The definition of research has been clarified.
- b) Responsibilities of individual researchers and the University have been updated to align with the revised Concordat to Support Research Integrity 2019. Standards have been updated to align with the most up to date UK Research Integrity Office guidance.
- c) The scope has been clarified to more explicitly reference postgraduate research students and their supervisors, including those based in Affiliated Research Centres and other postgraduate research student partners.
- d) The principle of 'inclusion' has been defined more precisely in the research context.
- e) The content has been updated to reflect relevant changes in other Open University research policies, where applicable.

Policies superseded by this document

This document replaces the previous Code of Practice for Research dated July 2017, with minor updates November 2020.

Scope

Who this Code of Practice covers

This Code of Practice applies to:

- All Open University staff, emeritus, honorary and visiting academics, independent contractors or consultants **conducting research at, or on behalf of The Open**

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University, regardless of location, whether working alone, or in collaboration, including in collaboration with researchers from third party organisations.

- Open University staff who manage or support researchers, or supervise postgraduate research students
- External supervisors of Open University directly supported postgraduate research students.
- Postgraduate research students registered with The Open University on a full-time or part-time basis, including those based at Affiliated Research Centres and other partner institutions.

All relevant staff and students are expected to understand and adhere to the Research Code of Practice. Supervisors of postgraduate research students are expected to support their students in their understanding of and adherence to the Research Code of Practice.

For specific advice on how this document applies to your own research, please seek advice from your Associate Dean Research, research supervisor and/or the [Research Governance Team](#).

Who this Code of Practice does not cover

This Code of Practice does not apply directly to those undertaking scholarship projects at or on behalf of The Open University unless the scholarship project in question is at the interface between scholarship and research, i.e. corresponds to the [Frascati definition of research](#) used in this document.

If you are undertaking a scholarship project, please refer to the scholarship guidance on the [Scholarship web pages](#).

This Code of Practice does not apply to students studying taught undergraduate modules and qualifications or postgraduate students registered for taught qualifications, or studying modules that form part of a taught qualification.

If you are undertaking a taught course dissertation module, please refer to your course materials and your tutor for further guidance on good research practice in the context of your project.

This Code of Practice does not apply directly to supervisors of postgraduate research students based at Affiliated Research Centres. Nevertheless such supervisors are expected to support their students in their understanding of and adherence to this Code of Practice.

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Introduction

Research is an important pillar of The Open University's academic endeavour. Research at The Open University is based on the [principles of high standards, honesty, openness, accountability, integrity, inclusion and safety](#). The Open University expects high standards of personal and professional conduct from all those engaged in research.

In pursuit of its research, The Open University is committed to providing for all researchers an open, supportive, inclusive and equitable research environment, that develops good research practice and is based on the principles of research integrity.

This Research Code of Practice aligns with the five commitments contained in the [Concordat to Support Research Integrity](#) which sets out a national framework for good research conduct and its governance:

1. Upholding the highest standards of rigour and integrity in all aspects of research.
2. Ensuring that research is conducted according to appropriate ethical, legal and professional frameworks, obligations and standards.
3. Supporting 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.
4. Using transparent, timely, robust and fair processes to deal with allegations of research misconduct should they arise.
5. Working together to strengthen the integrity of research and to review the process regularly and openly¹.

Furthermore, The Open University's commitment to the principles of [equality, diversity and inclusion](#) and how they apply in the research context are set out in this document.

This Research Code of Practice sets out the principles that govern the conduct of research at The Open University, and the standards for good research practice.

Section 1 sets out the [purpose of this policy](#). Section 2 sets out the [principles of good research conduct](#), sections 3 and 4 set out the [responsibilities of researchers](#), and of [The Open University](#). [Subsequent sections](#) describe the general standards for good research practice in The Open University context. The [final section](#) describes breaches of the Code and indicates how alleged breaches of the Code will be investigated.

¹ [Concordat to Support Research Integrity](#), 2019, Universities UK, p1

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It complements existing Open University policies (listed in [Appendix 1: Related Documentation](#)), and policies and procedures for good research practice at Faculty/Institute and discipline level, and in Affiliated Research Centres, where applicable.

The definition of ‘research’ in the UK Higher Education sector is based on the conventions set out in the [Frascati Manual](#)². A full [glossary of terms](#), including the definition of ‘research’ applied in this Code of Practice, is provided at the end of this document.

Throughout this document, the term ‘researcher’ applies to Open University staff, emeritus, honorary and visiting academics, independent contractors or consultants conducting research at, or on behalf of The Open University. The term ‘researcher’ also includes postgraduate research students registered with The Open University on a full-time or a part-time basis, those directly supported by the University and those based at partner institutions.

Research Code of Practice

1. Purpose

1.1 The Research Code of Practice sets out the principles that govern the conduct of research at The Open University, the responsibilities of researchers and The Open University, and the standards for good research practice.

1.2 The Research Code of Practice clarifies:

- Principles of good research conduct
- Responsibilities of researchers
- Responsibilities of the University
- Standards for good research practice
- How alleged breaches of the Research Code of Practice will be dealt with

2. Principles for Research Conduct

2.1 The Open University is committed to promoting and sustaining an open, supportive, inclusive and equitable research environment, that develops good research practice and is based on the principles of research integrity.

² [Frascati Manual, 2015, OECD](#), p44 - 45

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2.2 The principles which underpin the conduct of research at The Open University have parallels with the Seven Principles of Public Life³, and are based on those defined by the UK Research Integrity Office⁴. **At every stage in the research process**, all members of The Open University research community, are expected to adhere to the following principles. Guidance on how to apply these principles in the context of Open University research is provided in [sections 5 – 14](#).

2.2.1 High Standards

Demonstrate good research practice, rigour, and [high ethical standards](#).

2.2.2 Honesty

Be honest in respect of their own actions in research and in their responses to the actions of others.

2.2.3 Openness

Facilitate access to [research data](#), [methods](#) and [publication of results](#), including negative or null results to allow for scrutiny and reproducibility by the wider research community, as soon as is practicable, subject to the application of appropriate safeguards relating to the confidentiality, legal and intellectual property requirements.

2.2.4 Accountability

Ensure that research is consistent with the [University's policies and procedures, and the requirements of any other parties](#), such as, statutory and regulatory bodies, funding bodies, professional associations, learned societies, collaborators and participant groups.

2.2.5 Integrity

Consistently act with honesty. Demonstrate personal commitment to and application of ethical values. Take appropriate actions to identify and address actual, potential or perceived [conflicts of interest](#).

2.2.6 Inclusion

Create an inclusive and equitable research culture by:

- Treating individuals with dignity and respect, valuing the diversity of people and their identities.
- Challenging inequalities of participation and opportunity.

³ [The Seven Principles of Public Life](#) (UK government guidance, May 1995)

⁴ [Code of Practice for Research](#), Section 2, UK Research Integrity Office (living web document)

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- Reflecting on being open to opinions and perspectives – those that may reflect barriers of cultural disadvantage or intersectional aspects of identity.
- Redressing research inequalities and acknowledging the needs and socio-cultural positioning of communities that contribute to and benefit from research outcomes.
- Recognising and acting upon personal and research bias, as it pertains to aspects of gender, sexual orientation, class, ethnicity, race, disability and coloniality.
- Reviewing the composition of project teams and governance structures, ensuring where feasible their membership includes appropriate levels of representation from minority groups or those with protected characteristics.

2.2.7 Safety

Ensure that all research fulfils the requirements of [health and safety legislation and good practice](#). Ensure the dignity, rights, safety and well-being of all involved in research, and avoid so far as is reasonably practicable, risk or harm to research subjects, participants, researchers and wider society. Research will only be initiated and continued if the anticipated benefits justify the risks involved.

- 2.2.8 Support the wellbeing of researchers. In accordance with the [OU Academic Freedom Principles Statement](#), members of the research community should feel safe to share ideas and disagree constructively, seek and provide honest feedback, take risks and experiment within the parameters set out in this Code of Practice, admit errors and seek advice⁵.

3. Responsibilities of Researchers

- 3.1 Researchers are responsible for the following. Guidance on how to exercise these responsibilities in the context of Open University research is provided in [sections 5 – 14](#).
- 3.1.1 Understanding the expected standards of rigour, integrity and good practice relevant to their research.
- 3.1.2 Keeping abreast of the legislation, University and discipline specific policies, guidelines, procedures, frameworks, standards and obligations, internal and external, that apply to their research.

⁵ From a presentation by Dame Ottoline Leyser, UK Research and Innovation, on 21 April 2021, UK Research Integrity Office Annual Conference

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- 3.1.3 Complying with this Code of Practice and all other relevant University policies and procedures, ethical, legal and professional frameworks, and obligations and standards as required by statutory and regulatory authorities, funders, collaborators and other stakeholders.
 - 3.1.4 Designing, conducting and reporting their research in ways that embed rigour, integrity, and ethical practice throughout.
 - 3.1.5 Ensuring that all their research is subject to active and appropriate consideration and mitigation of ethical issues.
 - 3.1.6 Collaborating to maintain an open, supportive, inclusive and equitable research environment that encourages research integrity and good practice.
 - 3.1.7 Declaring and managing conflicts of interest relating to their research.
 - 3.1.8 Acting in good faith, to report potential instances of research misconduct at an early stage to the named research integrity contact in the Faculty/Institute, or Affiliated Research Centre, where applicable.
 - 3.1.9 Participating constructively in research misconduct investigations, as circumstances require.
 - 3.1.10 Working with the University to ensure that recommendations arising from research misconduct investigations are implemented⁶.
- 3.2 In addition to the above, postgraduate research students and their supervisors are responsible for adhering to [The Open University Research Degree Regulations](#) and the expectations set out in the Code of Practice for Supervisors and Research Students appended to that document.

4. Responsibilities of The Open University

4.1 Open, Supportive, Inclusive and Equitable Research Environment

The Open University is responsible for maintaining and promoting an open, supportive, inclusive and equitable research environment, that develops good research practice and is based on the principles of research integrity. It strives to do so in the following ways.

⁶ These responsibilities align with those in the [Concordat to Support Research Integrity](#), 2019, Universities UK

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4.2 Leadership

The Pro-Vice-Chancellor, Research, Enterprise and Scholarship oversees research integrity. It is their responsibility, through the Executive Deans and Directors, Associate Deans Research and Heads of School to foster an open, supportive, inclusive and equitable research environment that develops good research practice and research integrity. Principal Investigators and other research team leaders are expected to nurture good research practice and adherence to research integrity principles within their research teams.

4.3 Currency of the Research Policy Framework

The Open University is responsible for keeping this Code of Practice and other [research policies](#) current, ensuring that they reflect relevant external requirements. Research policies are reviewed every three years, or more often if necessary, and overseen by the Research Committee or designated Committees in its substructure, as per the Senate delegation schedule.

4.4 Training, Development and Support

The Open University is responsible for providing opportunities for training and development for all its researchers, including those on fixed term and part-time contracts, whatever their experience or background. It is responsible for ensuring that researchers are properly trained in good research practice, research integrity and ethics principles. The Open University is committed to the [Researcher Development Concordat \(2019\)](#), and thus the well-being and career development of early and mid-career researchers, and research leaders. The Open University's commitment to the wellbeing of postgraduate research students is set out in [The Open University Postgraduate Research Student Wellbeing and Mental Health Policy](#).

4.5 Executive Deans, Directors, Associate Deans Research and Heads of School are responsible for ensuring and confirming that all new research and academic staff and research support staff are briefed about research integrity at The Open University during their induction. Supervisors are responsible for ensuring that their postgraduate research students understand research integrity principles and good research practice in their field, that their training needs in this respect are identified and addressed, and that they conduct their research accordingly.

4.6 Executive Deans, Directors, Associate Deans Research, and Heads of School must ensure that there are effective systems for advice and mentoring, to support researchers in developing their understanding and application of research good practice, to identify research training needs and to provide opportunities for career development.

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- 4.7 Generic research integrity and ethics training is provided through the [Academic Professional Development Programme](#) and the [Graduate School Core Training Programme](#). Good practice in relation to specific aspects of the research cycle is provided by the [Open University Library Research Support](#) team and the [Research and Enterprise](#) Office (internal only). Formal training and informal mentoring in good research practice relating to individual disciplines is the responsibility of Faculties, Schools and Research Groups.
- 4.8 Individual research training needs are identified through the [Career Development and Staff Appraisal Process](#) (internal only) (staff) and regular [training needs analysis](#) (internal only) (postgraduate research students with support from their supervisors).
- 4.9 **Fairness in Recruitment, Selection, Reward, Development**
The Open University is responsible for managing staff evaluation in line with equality principles, to support effective career development.
- 4.10 It is a signatory to the [Declaration on Research Assessment](#) (DORA) and is committed to the ongoing development and review of equitable, transparent and evidence-based processes for candidate and staff evaluation that make responsible use of research performance metrics, where appropriate, to complement expert and stakeholder evaluations of research quality. The Open University is working towards a holistic approach to reward, retention and development which ensures value is placed on wider contributions to its research, education and societal missions.
- 4.11 **Monitoring compliance**
The University is responsible for monitoring compliance of researchers with this Code of Practice, through Faculty research management mechanisms, [pre- and post-award support](#) provided by the Research, Enterprise and Scholarship Unit, and by having clear processes for any member of staff, or postgraduate research student, or external third party, who wishes to [raise concerns about research integrity](#). It is the University's responsibility to have robust, transparent and fair processes for dealing with allegations of research misconduct that reflect best practice, to adhere to the processes, and to take reasonable steps to resolve any issues found during a research misconduct investigation.
- 4.12 The University is responsible for regularly reviewing institutional compliance with the [Concordat to Support Research Integrity \(2019\)](#) and publishing an [annual statement on research integrity at the Open University](#), which has been approved by the Council.

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5. Research Design

- 5.1 The standards for good practice in research project design set out below are based on the [UK Research Integrity Office guidance on standards](#)⁷.
- 5.2 Researchers should ensure that the proposed research addresses a pertinent question, is designed to add to existing knowledge or develop methods for research into the subject in question, and that the design of the project is appropriate to the research question. They should acknowledge and address potential sources of bias in the research design.
- 5.3 Researchers should ensure, in the research design, that they have considered the involvement of all sections of a population, relevant to the research question, and that no relevant population groups are excluded from scope.
- 5.4 Researchers should set out the design and conduct of the study in a viable research plan, describing how data will be gathered, managed and analysed and the research results disseminated.
- 5.5 Researchers, supported by the Faculty/Institute, should ensure that all necessary skills and experience will be available to carry out the proposed research, in the proposed research team or through collaboration with specialists in relevant fields. Where researchers intend to collaborate with third parties for any aspect of the project, the standards set out in [section 11](#) of this Code apply. This is the responsibility of supervisors in respect of postgraduate research student projects.
- 5.6 Researchers, supported by the Faculty/Institute, should ensure that sufficient resources will be available to carry out the proposed research within the identified timescales, and that these resources meet all the relevant standards. Where researchers intend to utilise the resources of a third party organisation for any aspect of the project, the standards set out in [section 11](#) of this Code apply. This is the responsibility of supervisors in respect of postgraduate research student projects.
- 5.7 Researchers, supported by the Faculty/Institute, and their supervisor when the researcher is a postgraduate research student, should consider and identify at the outset any risks associated with the research, undertake a full risk assessment where appropriate, and identify relevant actions/mitigation, to reduce risks in respect of the:
- [Health, safety](#) and wellbeing of researchers and/or research participants
 - University, and/or the University's reputation

⁷ [Code of Practice for Research \(2008\), section 3.4, UK Research Integrity Office](#)

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and to identify:

- [Legal and regulatory requirements governing the research](#)
- Whether the research involves human participants, data, tissue or non-human animals and thus requires [ethics review](#)
- Risks that the proposed research or potential research results could be misused for purposes that are illegal or harmful
- Whether the research is classified as 'dual use', i.e. could have defence as well as civilian applications.

5.8 Researchers, supported by the Faculty/Institute, and their supervisor when the researcher is a postgraduate research student, should resolve any issues relating to the above, as far as possible, prior to the start of the research project.

5.9 Researchers should be prepared to make research designs available to peer reviewers and journal editors when submitting research reports for publication, should this be required.

5.10 Where the researcher or the Faculty / Institute through the research risk assessment identifies the following, the project plan and risk assessment should be referred to the Ethical Research Review Body for evaluation:

- Reputational risk to the University
- Risk that the proposed research or potential research results could be misused for purposes that are illegal or harmful

5.11 Researchers should ensure that all Faculty and University procedures for ethics and equity reviews, risk assessment and the approval of research projects are followed, prior to commencement of the research project. Where the research project design has been approved by ethics, regulatory or peer review, and a Health and Safety and Faculty approval process, researchers should ensure that any subsequent alterations to the design are subject to appropriate review by the relevant body to determine that they will not compromise the integrity of the research or any terms of consent previously given.

5.12 Further resources to support researchers with research project planning are available from The [Open University Support for Researchers](#) web pages and the UK Research Integrity Office website:

- [Checklist for Researchers](#)
- [Recommended Checklist for Research Communities During the Covid-19 Pandemic.](#)

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- 5.13 Researchers should consult their Associate Dean Research and Faculty Research Manager for information about research project approval processes within the Faculty/Institute.
- 5.14 Postgraduate research students in Affiliated Research Centres are expected to adhere to the principles of good research design, whilst complying with local research project approval procedures.

6. Ethical, Legal, Regulatory and Professional Requirements

- 6.1 The Open University and its researchers must comply with all ethical, legal, regulatory, professional and funding body requirements relating to their research. When conducting or collaborating in research in other countries, Open University researchers must comply with the legal and ethical requirements in the UK and in the countries where the research is conducted.
- 6.2 Researchers should reflect on the extent to which research design may impose colonial views of societal norms on international (or Global South) communities. Where this is recognised as a risk, full mitigation plans, including the use of appropriate representation strategies, should be developed. Faculty/Institute processes for scrutinising research proposals should ensure these aspects have been considered and risks mitigated, where identified.
- 6.3 Research must be conducted in accordance with the highest contemporary ethics standards. Open University research ethics policies and review processes are on the [research ethics web pages](#).
- 6.4 **Human Research**
Where the research involves human participants, human data and/or human biological samples, researchers must seek ethics review of the proposed project by The Open University [Human Research Ethics Committee](#). Data collection may only commence once a favourable opinion has been granted by the Committee, and all other relevant project approvals have been obtained.
- 6.5 Researchers whose proposed project would involve the collection of information through survey, interview or focus group, from Open University staff should apply to The Open University [Staff Survey Project Panel](#) for guidance and permission to carry out the data collection.
- 6.6 Researchers whose proposed project would involve the collection of information from Open University students (students following taught undergraduate or postgraduate courses, or postgraduate research students) or alumni through survey, interview, focus

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groups, web based research blogs etc. should apply to The Open University [Student Research Project Panel](#) for guidance and permission to carry out the data collection.

- 6.7 Projects involving Open University staff and/or student participants that are focused on collecting data primarily for the purpose of internal review and evaluation, and that would not have significant relevance beyond the local context, are unlikely to require ethics review by the Human Research Ethics Committee. Individuals conducting such projects should refer to the [Human Research Ethics Committee website](#) for further guidance about types of project that do and do not require ethics review.
- 6.8 Researchers must ensure the confidentiality and security of personal data relating to human participants and human material involved in research projects. Researchers collecting or using information about living individuals (personal data) must comply with the requirements of data protection legislation ([General Data Protection Regulation](#) and the [Data Protection Act 2008](#)). Personal data means any information relating to an **identified** or **identifiable** living person (i.e. someone who can be identified by a name or ID number, or indirectly identified through other data about them). All personal data collected must be noted on the Information Asset Register. The data protection principles must be followed when collecting and using personal data, and the screening questions checked to ascertain whether the processing is high risk and if a Data Protection Impact Assessment must be completed. Further information is set out on the [Information Rights](#) webpages (internal only).
- 6.9 The data protection legislation provides for privacy in respect of personal data. Further, The [Open University Ethics principles for research involving Human Participants](#) set out the principle that researchers should respect the privacy of individuals, groups and communities. Nevertheless, it should be recognised that offering a right of confidentiality to research participants and other persons associated with research cannot be an absolute right. Certain circumstances, such as risk of harm to a person or persons, or the disclosure of information such as a previously unreported or undetected serious crime would require the researcher to act in the interest of protecting persons, in accordance with The [Open University Safeguarding Policy](#), and in the public interest by passing the information onto an appropriate agency, such as the police.
- 6.10 Where the nature of the research is such that there is a significant risk of disclosures described in paragraph 6.9 arising, any agreement made with participants or other persons associated with the research, such as may be made via an information sheet and consent form, should be clear about the limits of any confidentiality right. In some circumstances it may be appropriate to mitigate the risk by asking the consenting persons to avoid giving any information that is not directly relevant to the research topic and that might challenge the confidentiality agreement. Researchers should seek advice from The [Open University Human Research Ethics Committee](#) on developing secure protocols to manage risks associated with confidentiality challenges.

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6.11 If there is a possibility that personal data sets may be retained and reused in future research projects, researchers should ensure that appropriate consent is obtained from individual research subjects at the outset of the project.

6.12 There are external regulatory requirements for many research projects involving human participants. For example, researchers wishing to carry out health and social care research in England may need to submit an application for ethics review to the [Health Research Authority](#). Researchers who wish to conduct research projects in probation and prison services in England and Wales will require approval from Her Majesty’s Prison and Probation Service via their [National Research Committee](#). Researchers are responsible for familiarising themselves with, and complying with, the particular regulatory and professional requirements in their research field.

6.13 Researchers intending to conduct research projects into terrorism and extremism are subject to the provisions of the [Terrorism Act \(2006\)](#), the [Counter Terrorism and Border Security Act \(2019\)](#). To provide protection from prosecution under the legislation, researchers must register their project and seek University level approval as set out in The [Open University Terrorism and Extremism-related Research Policy](#), which aligns with the [Open University Prevent Principles](#).

6.14 **Animal Research**

The Open University is a signatory to the [Concordat on Openness in Animal Research](#), which promotes transparency in animal research. The use of animals in research must be carefully considered and justified. Researchers should take account of all possibilities for replacement (avoiding or replacing the use of animals) reduction (minimising the number of animals used) and refinement (adopting methods which minimise suffering and improve welfare). Where animals are used in research, high standards of accommodation and welfare must be achieved.

6.15 Researchers seeking to carry out any research involving animals, whether the research requires a Home Office licence or not, must obtain approval from The Open University [Animal Welfare Ethical Review Body](#), a statutory body reporting to the Establishment Licence Holder, who is responsible to the Home Office. The AWERB ensures that the requirements of the [Animal \(Scientific Procedures\) Act](#) 1986, and the principles set out above are observed.

6.16 **Research Funding and Collaboration**

For ethical and legal considerations in relation to research funding and collaboration, including the provisions of the [EU – UK Trade and Cooperation Agreement](#) and the [EU \(Future Relationship\) Act 2000](#) please refer to [section 11](#) below.

6.17 **Export Control**

Researchers should ensure they have read and understood Open University [guidance](#)

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[on Export Control](#) (internal only) and be aware whether their research areas may be subject to [Export Control legislation](#). Should a researcher suspect that Export Controls may apply to their work, they should seek advice from the [Research and Enterprise Team](#).

6.18 **Freedom of Information legislation**

For more information on how the provisions of the [Freedom of Information Act \(2000\)](#) and the [Environmental Information Regulations \(2004\)](#) apply to Open University researchers, please refer to paragraphs [7.12](#) and [9.7](#) below.

6.19 **Copyright legislation**

For more information on how the provisions of the [Copyright, Design and Patents Act \(1988\)](#) apply to Open University researchers, please refer to [paragraph 9.6](#) below.

6.20 **Health and Safety**

Researchers must ensure that all research fulfils the requirements of health and safety legislation and good practice. Research which involves potentially hazardous or harmful material or might cause harm to the environment must comply with all legal requirements and applicable guidelines. Research in conflict zones entails particular health and safety risks. Researchers should refer to The [Open University Health and Safety Policy and Guidance](#) for further information.

6.21 **Use of Social Media**

Researchers seeking to discuss their research, or that of other researchers via social media channels in a personal, or a professional capacity should adhere to the principles and standards set out in this Code of Practice and The [Open University Social Media Policy](#).

6.22 **Affiliated Research Centres**

Postgraduate research students in Affiliated Research Centres are expected to adhere to ethics principles and ethics review protocols in their Affiliated Research Centre, to all national and regional legislative, professional and regulatory requirements in the location of the Affiliated Research Centre and the location of the research project, and The [Open University Research Degree Regulations](#).

7. **Research Data and Records**

- 7.1 Research data must be managed to the highest standards throughout their lifecycle, in accordance with The [Open University Research Data Management Policy](#) and associated guidance, in order to support excellence and openness in research practice.

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- 7.2 In keeping with The Open University's principle of openness, and in accordance with the [UK Research and Innovation open research data policies](#), researchers are expected to make their research data open and accessible to other researchers, as soon as appropriate and verifiable, subject to the application of appropriate safeguards relating to confidentiality, legal and intellectual property requirements. The Open University research data online repository, [Open Research Data Online \(ORDO\)](#) has been developed and is maintained to facilitate this.
- 7.3 Researchers must ensure they have a detailed plan for collecting, storing, managing, preserving and sharing physical and digital data arising from their research, that complies with all legal, ethical, University and funding body requirements, prior to the commencement of the research project.
- 7.4 Researchers must ensure that research data and records are accurate, sufficiently detailed and complete in the context of the conventions of the research field to enable verification of the research results.
- 7.5 Data must be recorded in a durable, secure and retrievable form, be appropriately indexed, and comply with University and funding body requirements. The Open University offers its researchers a range of services and facilities that meet sector and funding body requirements for storage, access and curation of data, including [ORDO](#). Researchers should assess the appropriate level of security for their research data in accordance with The [Open University Information Security Policies](#) (internal only), or the equivalent information security policies in their Affiliated Research Centre, where applicable.
- 7.6 Where confidentiality provisions apply, the data must be appropriately anonymized, and stored in a way that allows reference by third parties without breaching confidentiality.
- 7.7 At the end of the research project, the researcher must archive and retain the data in accordance with funding body requirements, the terms on which a favourable opinion from ethics review was granted where applicable, and [The Open University's data retention schedule](#) (internal only).
- 7.8 Where data are obtained from pre-existing data sets, e.g. from online data repositories, attached to a published journal article, from a limited access databases or via a contractual arrangement, the researcher must retain key information regarding the database from which it was obtained, and cite the data source in the research output. Where restrictions on the re-use of data apply, before using the pre-existing data set, researchers must ensure that they have permission from the data owner to re-use the data set, that informed and valid consent for data re-use has been obtained from the original human research participants where applicable, and that the data is re-used within the parameters of the specified restrictions.

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- 7.9 The Pro-Vice-Chancellor, Research, Enterprise and Scholarship has institutional responsibility and Executive Deans and Directors of Institutes have responsibility at Faculty/Institute level for monitoring research outputs to ensure that the University complies with its obligations to funding bodies to manage associated research data and to disseminate the results of publicly funded research.
- 7.10 Detailed guidance, training and support on all aspects of [research data management](#) is provided by the [Library Research Support Team](#).
- 7.11 Postgraduate research students in Affiliated Research Centres are expected to adhere to the principles of good data management, whilst complying with local data management and retention procedures.
- 7.12 Research data can also be subject to information requests from members of the public under the [Freedom of Information Act \(2000\)](#) and the [Environmental Information Regulations \(2004\)](#). Researchers must deal appropriately with any requests for information made under this legislation. If a request is received for research information that would not normally be released under business as usual practices and/or where the FOIA or EIR is cited, the researcher should forward it to the [Information Rights Team](#) who will assist in formulating an appropriate response, ensuring that appropriate exemptions under the legislation are applied. Further information is set out on the [Information Rights](#) webpages (internal only).

8. Authorship, Acknowledgement and Attribution

- 8.1 Researchers should comply with the authorship conventions appropriate to their research field, and to the publisher's requirements, if applicable.
- 8.2 Authorship must honestly reflect the contribution to the work/research output. For a person to be recorded as an author normally requires that they were directly involved in the creation of the work by:
- Being solely responsible for, or making a significant contribution to, the conception/design of the project, or the collection, analysis and/or interpretation of the data on which the work is based.
 - Making critical, intellectual input to the writing or revision of the work/research output.
- 8.3 The contribution of postgraduate research student supervisors to a student's research project would normally be referenced in the 'Acknowledgements' section of their student's thesis. A supervisor who has made a critical intellectual input to writing or revision of publications associated with the thesis should normally be included as an author in line with convention appropriate to that discipline.

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- 8.4 Everyone who fulfils the criteria for authorship should be included as an author in a submitted work, unless an individual author has requested otherwise.
- 8.5 Every section of a submitted work must be the responsibility of at least one identifiable author.
- 8.6 The right to authorship is not tied to position of profession. Allocation of authorship to those who do not fulfil the criteria for authorship, otherwise known as ‘ghost’, ‘gift’ or ‘honorary’ authorship, is unacceptable. Anyone identified as an author of a work/research output should be able to take responsibility for the accuracy of the work and be able to identify their contribution to it.
- 8.7 Researchers should list the work of all contributors who do not fulfil the criteria for authorship in an acknowledgements section, in a manner consistent with the norms of the research field. An author must ensure that the work of (other) research students, research assistants and technical officers is acknowledged in a submitted work derived from research to which they have made a contribution.
- 8.8 Researchers must acknowledge all sources (published and unpublished) used in their research and seek permission from individuals if a significant amount of their original work is to be used in the final submitted work arising from the project.
- 8.9 When there is more than one co-author of a research output, at an early stage in project design, noting that roles and contributions may change over time, researchers should jointly agree and communicate to all members of the research team issues relating to authorship, attribution and publication, including the:
- Roles of all collaborators and contributors.
 - Nomination of one executive author for the purposes of administration and correspondence.
 - Order in which authors shall be listed.
- 8.10 Should a dispute about authorship arise, the members of the research team should seek to resolve it themselves with the support of the Associate Dean Research / Head of School, taking into account the conventions of the discipline and ensuring that the standards described in this section have been applied. Should the dispute remain unresolved, parties should contact the [research governance team](#) for advice.
- 8.11 Postgraduate students in Affiliated Research Centres are expected to adhere to the principles of good practice in authorship, acknowledgement and attribution set out above.

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9. Publication and Public Presentation of Research Findings

- 9.1 Research results should be published promptly and openly (see [section 10](#) below) in order to share the results with the academic community and for the benefit of wider society, subject to the application of appropriate safeguards relating to the confidentiality, legal and intellectual property requirements.
- 9.2 Researchers should publish and disseminate all research findings accurately, without selection that could be misleading.
- 9.3 Any selected images and iconography used should be appropriate and representative of the communities involved.
- 9.4 When submitting work for publication, or reporting research findings at meetings, researchers must include information on the source of financial support for the research and declare any potential [conflicts of interest](#).
- 9.5 Researchers should consult the [Open University Intellectual Property Policy \(Research\)](#), [Open University guidance on Copyright and Licences](#) and The [Open University Terms and Conditions of Service: Academic Staff Group](#) (internal only) or The [Open University Terms and Conditions of Service: Research Staff](#) (internal only) or The [Open University Conditions of Registration for Postgraduate Research Students](#) as appropriate, funding body terms and conditions and The [Open University Open Access Publication Policy](#) for further information on intellectual property, its protection, and copyright rights and obligations in relation to publications and public presentation of research findings. [The Library Research Support Team](#) provide advice on copyright.
- 9.6 Researchers must obtain permission to include any third party copyright material in their publication, publicly presented research outputs or research degree thesis, and comply with any further copyright guidance from publishers and funding bodies.
- 9.7 Where confidentiality provisions to protect Intellectual Property rights, which may limit publication and dissemination are being considered, e.g. commercial or other sensitive research, researchers should consult the [Research and Enterprise Team](#). Researchers should also contact the [Information Rights Team](#) in relation to the provisions of the Freedom of Information Act. Postgraduate research students and their supervisors should refer to The [Open University Research Degree Regulations](#) for information about the regulations relating to thesis embargo or restriction.
- 9.8 Publication of previously published material by the same author is not acceptable, except where each subsequent paper fully cross-references and acknowledges the earlier paper or papers. In all such cases, researchers must follow publishers' guidelines.

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- 9.9 Submission of substantially similar work to publishers must comply with publishers' guidelines; submissions to journals should in most cases be sequential (submitted to one journal at a time, and to the next only following rejection by the previous journal) and submissions of book/book proposals should disclose submissions to multiple publishers.
- 9.10 Researchers must ensure that their affiliation to The Open University, using the wording: '**The Open University, UK**' is properly recorded on all research presented for publication, and when reporting research findings at meetings.
- 9.11 Postgraduate research students in Affiliated Research Centres are expected to adhere to the principles of good practice in publication set out above.

10. Open Access to Research Outputs

- 10.1 In keeping with The Open University's principle of openness, it is expected that ideas and knowledge from research should be made available and accessible for public use, interrogation and scrutiny, as widely, rapidly and effectively as possible. Research outputs should be preserved and remain accessible for future generations. The online repository for Open University research outputs, [Open Research Online \(ORO\)](#) has been developed and is maintained to facilitate this.
- 10.2 Researchers must ensure all their Open University affiliated research outputs are deposited in ORO, in accordance with The [Open University Open Access Publication Policy](#).
- 10.3 Postgraduate research students must deposit the final version of their research degree thesis in ORO, prior to award, in accordance with The [Open University Thesis Submission Guidelines](#).

11. Funding and Collaboration in Research and Enterprise

- 11.1 In accordance with its charitable status as a UK Higher Education provider, The Open University seeks to uphold its values of social justice and environmental responsibility, to work in the interests of the common good, and in the public interest. In pursuit of its research and enterprise activities it seeks to protect its integrity and its reputation by applying the following principles.
- 11.2 The Open University and its researchers will not pursue research or knowledge exchange partnerships with, nor accept funding from:

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- 11.2.1 The tobacco industry⁸.
- 11.2.2 Any party that is involved in illegal or unethical activity, including but not restricted to slavery, pornography, the sex industry and child labour.
- 11.2.3 Any party that would require Open University researchers to breach the principles of research integrity, deviate from scientific norms and research conventions, restrict publication or suppress research findings⁹, inappropriately influence the presentation or interpretation of research findings.
- 11.2.4 Any party that would require an embargo on being named as a funder or collaborator.
- 11.3 The Open University does not preclude researchers from collaborating with or receiving funding from the defence sector. Nevertheless, researchers should undertake a full risk assessment and refer all research involving potential or actual defence and/or security applications to the Ethical Research Review Body for review.
- 11.4 Where a potential funder or collaborator has, or is perceived to have, incompatible values and could potentially bring the University into disrepute by association, the researcher should undertake a full risk assessment and refer the case to the Ethical Research Review Body for ethics review.
- 11.5 Where the funding source is a philanthropic donation to Open University research, it will be subject to the [Development Office Gift Income Procedure](#).
- 11.6 Researchers, supported by their Faculties, should undertake appropriate due diligence in relation to potential funders and collaborating organizations, in accordance with The Open University Due Diligence Guidance for Research / Knowledge Exchange Collaborations and Funders, to determine whether they contravene any of the fundamental principles outlined above and therefore may not be pursued, or identify risks that are within acceptable thresholds and can be mitigated, but may require further review and approval.
- 11.7 Researchers should comply with the requirements of funding bodies in relation to due diligence checks that must be undertaken on overseas collaborators.

⁸ Definition of tobacco industry funding to align with Cancer Research UK Code of Practice on Tobacco Industry Funding to Universities <https://www.cancerresearchuk.org/funding-for-researchers/applying-for-funding/policies-that-affect-your-grant/code-of-practice-on-tobacco-industry-funding-to-universities>

⁹ In respect of publication, an exception would be for commercial or other sensitive research.

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11.8 Researchers, supported by their Faculties, should work together with collaborating organisations to ensure the agreement of, and compliance with, common standards and procedures for the conduct of collaborative research, including the resolution of any issues or problems that might arise and the investigation of any allegations of misconduct should they arise. Researchers should seek agreement on the roles of researchers involved in the project and on issues relating to [authorship, attribution and acknowledgement, publication and intellectual property](#), recognising that this may change over the course of the project, and ensure this is communicated to all members of the research team, including postgraduate research students. This is the responsibility of supervisors when a postgraduate research student project involves collaboration with third parties.

11.9 Researchers seeking to collaborate with a third party should ensure that a collaboration agreement is in place, prior to the commencement of the research, which covers data sharing, intellectual property, liability insurance, health and safety, adherence to research policies and procedures and the ethical, legal and professional frameworks pertaining in all collaborating organizations and all countries in which the research is taking place, resolution of any issues or problems that might arise and the investigation of any allegations of misconduct should they arise. Researchers must be aware of and comply with the contractual arrangements in place. Where a postgraduate research student(s) will be using the facilities of a third party organization in the course of their research degree, Faculties/Institutes and Affiliated Research Centres **must** ensure that an institutional collaboration agreement is in place, prior to the commencement of the research, which covers all the aspects listed above and the additional student protection measures required by the UK Office for Students.

11.10 **Subsidy Control**

Researchers must ensure they adhere to The [Open University Finance](#) guidelines when costing and pricing their externally funded research. Researchers collaborating with ‘economic actors’¹⁰ (i.e. businesses) have a duty to appropriately price contracts and consultancy work to ensure there are no subsidies flowing to other beneficiaries as per the subsidy control principles set out in the [EU – UK Trade and Cooperation Agreement](#) and implemented in the [EU \(Future Relationship\) Act 2000](#).

¹⁰ Terminology used in the relevant legislation.

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12. Conflict of Interest

- 12.1 A conflict of interest can occur when duties to the University compete with personal interests or duties to other people or organisations. Actual or perceived conflicts can arise from a researcher's external activities which are undertaken in addition to their University role. The points below are specific to research or research-related activities and are compatible with The [Open University Conflicts of Interest Policy](#).
- 12.2 In relation to research or research-related activity, a conflict of interest could serve to undermine the validity or integrity of the research and may lead to loss of public confidence in research activity and reputational damage for associated parties including researchers, the University, funders and journals. In the context of research and research-related activity, conflicts of interest may be financial or non-financial (e.g. a desire to use research to promote personal/ideological beliefs).
- 12.3 Researchers should consider and openly declare and justify any actual or perceived conflicts of interest before commencing any research activity and throughout all the stages of the research process including (where applicable): in research funding applications; in research ethics applications; when seeking to recruit research participants, through the process of gaining informed consent; in research publications; during commercialisation of research; when undertaking peer review, when examining a research degree thesis.
- 12.4 Researchers should disclose a conflict of interest as soon as it is identified and steps taken to ensure it is recorded through a brief written declaration, and either avoided or managed appropriately, so the integrity of the research process is not compromised. In cases where a conflict of interest cannot be avoided, special safeguards may be required in order for the research activity to commence. If a conflict of interest poses a risk of seriously compromising the integrity of the research, the researcher should not proceed with the project.
- 12.5 Researchers should comply with the requirements of funding bodies in relation to declaring any actual or perceived conflicts of interest.
- 12.6 Researchers may develop a variety of external links through their work, for example providing expert advice to, the private sector, public sector, voluntary organisations and local communities; through involvement in the publication process as a peer reviewer or journal editor; or through involvement in spin-out companies. Researchers should be mindful that undertaking such activities could lead to actual or perceived conflicts of interest arising.
- 12.7 A conflict of interest may arise if a researcher accepts research funding from a company with which they have a direct financial interest (e.g. they are a shareholder

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in the company). This could also apply if a person with whom the researcher has a close personal relationship, has a direct financial interest in the company providing funding. Researchers should disclose such a personal connection to the Associate Dean Research in writing prior to any application for research funding being made.

- 12.8 Researchers should disclose an actual or perceived conflict of interest in writing to the Associate Dean Research as soon as the conflict of interest is identified and subsequently to any ethics committee which reviews their research; to their funding body, if applicable; and when reporting their findings at meetings or in publications. If the conflict of interest involves a direct financial interest in a company, researchers should disclose the conflict of interest to the Associate Dean Research, prior to the application for research funding being made.

13. Definition of Research Misconduct

- 13.1 Research misconduct is characterised as behaviours or actions that fall short of the standards required to ensure that the integrity of research at The Open University is upheld. It can cause harm, and undermines the research record. Honest errors and differences in, for example, research methodology or interpretations do not constitute research misconduct.

- 13.2 Research misconduct includes acts of omission as well as acts of commission. It is any breach of this Research Code of Practice, including, but not limited to:

13.2.1 **Fabrication**

The creation of false data, imagery, or other research outputs (e.g. artefacts), or other aspects of research (e.g. documentation, participant consent) and presenting or recording them as if they were real.

13.2.2 **Falsification**

Inappropriate manipulation or selection of data, imagery, research outputs, research processes, materials, equipment, documentation, or participant consent.

13.2.3 **Misrepresentation of research results**

Omission of relevant results or data, including negative or null results, or knowingly, recklessly or by gross negligence presenting a flawed interpretation of data.

13.2.4 **Non-compliance with ethical, legal, regulatory and professional obligations, e.g:**

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- Terms and conditions governing the award of external funding for research.
- The University’s policies and procedures relating to research, including but not limited to risk assessment, ethics review, health and safety, accounting requirements, data management, terrorism and extremism-related research, open access, equity and export control.
- The policies and procedures relating to research of a collaborating organisation.
- The local legal, regulatory, ethical and professional requirements relating to the research project if the research is being conducted in a country other than the UK.
- Legal, regulatory, ethical and professional requirements for the protection of human research participants, human data, human organs or tissue used in research, e.g:
 - ❖ Breach of duty of care for humans involved in research, whether deliberately, recklessly or by gross negligence, including failure to obtain appropriate informed consent.
 - ❖ Misuse of personal data, including inappropriate disclosures of the identity of research participants and other breaches of confidentiality.
- Legal, regulatory, ethical and professional requirements for the protection of animal subjects (e.g. welfare requirements) and for the protection of the environment.
- Any other legal, regulatory or ethical requirements for the conduct of research.
- Standards of conduct for peer review of research proposals, results or manuscripts submitted for publication, or examination of a thesis submitted for a research degree examination e.g.:
 - ❖ Failure to disclose conflicts of interest.
 - ❖ Inadequate disclosure of limited competence to review, or examine.
 - ❖ Misappropriation of content.
 - ❖ Breach of confidentiality or abuse of material provided in confidence for the purposes of peer review, or examination.

13.2.5 **Failure to declare interests**

Failure to declare competing interests of researchers or funders of a study.

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13.2.6 **Poor research practice**

Deviation from accepted good practice in carrying out research, whether deliberately, recklessly or by gross negligence.

13.2.7 **Plagiarism**

Use of other people's ideas, intellectual property, work (written or otherwise) from published or unpublished source material, including but not limited to text, data, imagery, created artistic artefacts, and passing it off as one's own, without the correct acknowledgement or permission. For a detailed definition of, and examples of, plagiarism within the context of a research degree, refer to the [Plagiarism and Research Misconduct Policy \(Postgraduate Research Students\)](#).

13.2.8 **Misrepresentation of authorship or contribution**

Inappropriate claims to authorship or attribution of work. Denial of authorship or attribution to persons who have made a contribution to the research.

13.2.9 **Undisclosed duplication**

Undisclosed duplication of publication, including undisclosed duplicate submission of manuscripts for publication.

13.2.10 **Misrepresentation of credentials**

False presentation of qualifications, experience, competence or credentials.

13.2.11 **Facilitation of research misconduct**

Collusion in, or concealment of research misconduct by others.

13.2.12 **Improper dealing with allegations of research misconduct**

Failing to address allegations of research misconduct, instigating reprisals against whistle-blowers, failing to adhere to agreed procedures for investigation of allegations, inappropriate censoring of parties through the use of legal instruments such as non-disclosure agreements.

13.3 The definitions of research misconduct align with those in the [Concordat to Support Research Integrity](#)¹¹.

¹¹ [Concordat to Support Research Integrity](#), 2019, Universities UK, p12-13

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13.4 Guidance on how to raise concerns about potential research misconduct is provided in [section 14](#).

14. Allegations of Research Misconduct

14.1 The Open University wishes to protect its reputation, those of its researchers, and the research record by ensuring any claims of research misconduct are properly investigated and the outcomes of any investigation are implemented in accordance with best practice set out in the Concordat to Support Research Integrity. Therefore researchers are encouraged to raise legitimate concerns about research misconduct at the earliest stage, and in so doing, be assured that their position within the University will not be jeopardised.

14.2 Researchers should address their concerns to their supervisor, line manager, Research Group Leader, Head of School or Associate Dean Research, or other named officer in their Faculty/Institute at the earliest stage. Alternatively, concerns, or requests for advice may be addressed to the [Senior Manager, Research Governance in the Research, Enterprise and Scholarship Unit](#).

Email: research-integrity@open.ac.uk

14.3 The officers named in paragraph 14.2 are obliged to deal with the allegation, whether from an internal or external source, according to the:

- [Procedure for Dealing with Allegations of Research Misconduct](#), if the allegation concerns a member of staff. The Pro-Vice-Chancellor, Research, Enterprise and Scholarship, is responsible for the investigation of such allegations.
- [Plagiarism and Research Misconduct Policy \(Postgraduate Research Students\)](#), if the allegation concerns a postgraduate research student. The Pro-Vice-Chancellor, Research, Enterprise and Scholarship has delegated responsibility for the investigation of such allegations to the Graduate School Director.

14.4 Pressurising another researcher to act contrary to the provisions of this policy is a form of bullying and harassment and is unacceptable. Researchers are encouraged to report any such pressure to the officers named in 14.2 above. Such allegations will be dealt with according to The [Open University Bullying and Harassment Policy](#) (staff members), or [The Open University Dignity and Respect Policy](#) (postgraduate research students). If, following investigation according to the provisions of the Bullying and Harassment policy or the Dignity and Respect policy, an allegation is upheld against an individual involved in a research activity funded by an external funding body, The Open University will notify the funding body of the investigation and the outcome in cases where this is required by the terms and conditions of the funding body (e.g. UK Research and Innovation).

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14.5 The [Open University Public Interest Disclosure \(Whistleblowing\) Policy](#) is an alternative recourse for staff, students, and external parties wishing to raise legitimate concerns they may have about irregularities in the running of the University or the activities of its staff.

Glossary of terms

Research

In the UK Higher Education sector ‘research’ is defined by the conventions set out in the [Frascati Manual](#)¹².

Research and experimental development (R&D) comprise creative and systematic work undertaken in order to increase the stock of knowledge – including knowledge of humankind, culture and society – and to devise new applications of available knowledge.

Research and experimental development must satisfy five core criteria. It should be novel, creative, uncertain (about the final outcome), systematic, with transferable or reproducible results.

Research and experimental development covers three types of activity. **Basic research:** experimental or theoretical work undertaken primarily to acquire new knowledge of the underlying foundations of phenomena and observable facts, without any particular application or use in view. **Applied research:** original investigation undertaken in order to acquire new knowledge. It is directed primarily towards a specific, practical aim or objective. **Experimental development** is systematic work, drawing on knowledge gained from research and practical experience and producing additional knowledge, which is directed to producing new products or processes or to improving existing products or processes.

Researcher

Open University staff, emeritus, honorary and visiting academics, independent contractors or consultants conducting research at, or on behalf of The Open University, regardless of location, whether working alone, or in collaboration, including in collaboration with researchers from third party organisations.

Postgraduate research students registered with The Open University on a full-time or a part-time basis, including those based at partner institutions.

¹² [Frascati Manual, 2015, OECD](#), p44 - 45

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Research integrity

Good research practice. Conducting research in a way which allows others to have trust in the research methods used, and the research results. Upholding the professional standards expected of researchers in The Open University. These standards are set out in this Research Code of Practice.

Research misconduct

An act or behaviour which falls short of the standards required to ensure that the integrity of The Open University's research is upheld. Definitions and examples of research misconduct are listed in [section 13](#) of this Research Code of Practice.

Further Advice

For specific advice on how the provisions of this Code of Practice applies to your own research, please seek advice from your research supervisor, Research Group Leader, Head of School, Associate Dean Research, and/or the [Research Governance Team](#).

If you have any comments about this policy document and how it might be improved, please submit these to the [Research Governance Team](#).

Alternative format

If you require this document in an alternative format, please contact the [Research Governance Team](#).

Email: research-integrity@open.ac.uk / Telephone: +44 (0)1908 659615.

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Appendix 1: Related Documentation

Refer to the following documentation in conjunction with this document:

- [Concordat to Support Research Integrity \(2019\)](#)
- [Researcher Development Concordat \(2019\)](#)
- [OU Academic Freedom Principles Statement](#)
- [OU Animal Research Statement](#)
- [OU Anti-Bribery and Corruption Policy](#)
- [OU Bullying and Harassment Policy](#)
- [OU Conditions of Registration for Postgraduate Research Students](#)
- [OU Conflicts of Interest Policy](#)
- [OU Consultancy Policy \(Research and Enterprise\)](#)
- [OU Development Office Income Procedure](#)
- [OU Disciplinary Procedures for Academic and Academic-related staff](#)
- [OU Data Protection Policy](#)
[OU Information Rights](#) (internal only)
- [OU Dignity and Respect Policy](#)
- [OU Ethical Research Statement](#)
- [OU Ethics Principles for Research Human Participants \(and associated guidance\)](#)
- [OU Export Control Compliance Statement](#)
- [OU Finance guidelines for research costing](#)
- [OU Health and Safety Policy and Guidance](#) (internal only)
- [OU Information Security Policies](#) (internal only)
- [OU Intellectual Property Policy \(Research\)](#)

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- [OU Open Access Publication Policy](#)
- [OU Open Research Data Management On-line policies](#)
- [OU Plagiarism and Research Misconduct Policy \(Postgraduate Research Students\)](#)
- [OU Procedure for dealing with allegations of research malpractice or misconduct](#)
- [OU Public interest disclosure \(Whistleblowing\)](#)
- [OU Research Data Management Policy](#)
- [OU Research Degree Regulations, \(includes the Code of Practice for Supervisors and Research Students\)](#)
- [OU Research Degrees Student Handbook](#)
- [OU Responsible Use of Research Metrics Statement](#)
- [OU Social Media Policy](#)
- [OU Safeguarding Policy](#)
- [OU Terrorism and Extremism-related Research Policy](#)
- [OU Terms and Conditions of Service: Academic Staff Group](#) (internal only)
- [OU Terms and Conditions of Service: Research Staff](#) (internal only)
- [OU Thesis Submission Guidelines](#)
- [OU Wellbeing and Mental Health Policy](#) (Postgraduate Research Students)

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Appendix 2: The Open University Student Charter Values

This Code of Practice aligns with the following [Open University Student Charter](#) Values:

- 2: We value diversity and challenge inequalities and we are stronger for doing so.
- 4: We communicate with each other in ways which are clear, relevant, accurate and timely.
- 7: We act ethically and transparently, providing and making use of fair and open means to deal with our concerns and grievances, learning from them.
- 9: As students, we share the responsibility for learning and make a commitment to study and research using the resources and support services available, upholding the highest standards of academic integrity.
- 11: We work to maintain and enhance the standards and reputation of our University recognising the contributions that all members make to its success.

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