

# **Short Guide to Research at Kingston University**

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## 1 Introduction

The Short Guide to Research at Kingston University presents basic information about the University's research support and policies. The document is largely a synopsis of the [University's Guide to Good Research Practice](#); researchers should consider that document to be the primary source of information relating to research policy and practice at Kingston University.

This Guide is intended for everyone employed by Kingston University who is involved in research. Research students and their supervisors should also consult the [Postgraduate Researcher Handbook](#), which outlines other procedures and policies relevant to them.

## 2 Research Support

The [Provost](#) has overall responsibility for research at Kingston University. Each Faculty has a Dean and they are responsible for ensuring good research conduct; typically under the leadership of an Associate Dean for Research and Innovation (ADRI). At School level, School Directors of Research (SDRs), reporting to ADRI and Heads of School are expected to facilitate the development and delivery of high-quality research and to ensure that appropriate career development support is provided for all researchers at all levels. The SDR is often the best person to approach initially with specific research-related queries. Your responsibility as a researcher is to maintain appropriate records of your research, impact and engagement activities and to ensure that Kingston University staff [profile page](#) is kept up to date.

Research and Impact supports the development and implementation of the University research strategy and is responsible for co-ordinating the university's submission to the Research Excellence Framework (REF). Led ultimately by the Provost, the *Head of the Graduate Research School* (who leads on research organisation, development and capacity-building; leads the University's postgraduate research programmes); and the Head of Strategy, Governance and Finance (who leads on strategic integration, research governance, integrity and compliance, research data and

systems, and research funding). The University operates a single, central Research Ethics Committee with a dedicated chair.

The Research and Impact team provides advice and support for innovation, funding, funders, pre- and post-award activities, research governance and ethics, research data management, impact assessment and coordination of the University's Research Excellence Framework (REF) preparation and submission. Further details of the team can be found [here](#).

### **3 Conducting Research**

Resource issues must be resolved prior to the start of any research project. Please note that all travel related to research (including for conference attendance) must be booked via the University's nominated agency, [Key Travel](#). This applies to both transport and accommodation.

#### **3.1 Research Ethics**

All research projects involving people must be given an appropriate level of ethical scrutiny prior to the commencement of the research, with referral via the Kingston University Research Ethics Online System (KUREOS). All researchers who collect data from human participants need to be registered with KUREOS. For further information see the [Ethics Guidance and Procedures for Undertaking Research Involving Human Subjects](#). Guidance on how to use KUREOS available both on [StaffSpace](#) and [Canvas](#) for research students. Queries regarding the use of KUREOS should be directed to [KUREOS@kingston.ac.uk](mailto:KUREOS@kingston.ac.uk). Each Faculty also has an academic colleague nominated as a "Faculty Research Ethics Lead" (FREL) who can advise on research ethics issues relevant to that Faculty, although demands on their time are high; line managers, supervisors and mentors will also assist junior colleagues in the ethical review of proposed projects. The name of the current Research Ethics Lead for your Faculty is available [here](#).

If your research involves the use of human tissue, then the work must comply with the Human Tissue Act (HTA) and you must contact the [HTA Designated Individual](#) for

advice. The [HTA Quality Manual](#) outlines the use, storage of human tissue for research in accordance with the University's research sector Human Tissue Authority licence.

**Note** also that the University does not conduct research involving animals on its premises.

### **3.2 Data Management and Ownership**

The way in which data is stored should be confirmed in a Data Management Plan at the start of a research project and must comply with the University's research [data management policy](#). There must be agreement amongst contributors concerning ownership and future use of data, results and samples that are generated or used during the research.

All data must be kept securely, for example via deposit on the [University's Data Repository](#), on a subject specific data repository such as [UK Data Service](#), unless there is a relevant exemption such as a copyright restriction. The data should be deposited with the metadata describing it, the conditions of access, or reasons why the data cannot be shared.

Research data deposited outside the university should have a metadata only record created in the [University's Data Repository](#) so that the deposit can be found via the university and to showcase the University's outputs. It should also be linked to the relevant outputs in the Research Repository.

Primary data collected and temporarily stored on portable devices must be transferred to a secure centrally managed University storage service such as OneDrive. Any temporary/portable storage must be encrypted and suitably protected. Primary data in hard format (e.g. in a laboratory book, paper-based questionnaires) must be kept securely within the University.

### **3.3 Data Retention**

The length of the retention period will vary, although 10 years from the date of publication (or completion, if publication is not envisaged) is the normal minimum. Data remains the property of the University unless otherwise agreed with a research sponsor, collaborator or funder. Those who wish, on leaving the University, to retain data or make copies should seek authorisation from the Dean of Faculty in consultation with the University Secretary's Office as appropriate and notify the Research and Impact team. In some subjects, notably social sciences and psychology, it is now common practise to pre-register protocols, expected outcomes and also to publish pre-prints for peer-input. You should consider whether these approaches are achievable, appropriate and/or expected within your research area. If you require further information, please contact [KORI](#) (Kingston Open Research Initiative).

### **3.4 Data Protection**

Researchers should comply with all legal, ethical, funding body and organisational requirements for the collection, use and storage of data, especially personal data, where particular attention should be paid to the requirements of data protection legislation. Particular attention should be paid to the requirements of the Data Protection Regulation 2018 (amended in 2019 and 2020) and the UK Data Protection Regulation (GDPR), the aim of which is to ensure that personal data is used fairly and lawfully and the privacy of individuals is respected. Further information is available [here](#). All researchers should complete [GDPR training](#) offered by the University.

Any researchers who intend to process special category data as defined by GDPR (e.g. sensitive information like health records, ethnicity or sexual orientation) or criminal offences data, or who may be sending any data overseas outside of the EU, must discuss the matter with the [University Data Protection Officer](#). Any request for access to data under the GDPR must be referred immediately to the University Data Protection Officer, as there are strict time limits and rules on the provision of access.

### 3.5 Intellectual Property

The potential to exploit intellectual property (IP) should be considered at an early stage and certainly before data are submitted for publication or presented in any other public forum. In certain cases it is necessary for non-disclosure agreements to be in place prior to starting the research; planning ahead is therefore essential. Where IP is involved, researchers should document every stage of the project, with entries signed and dated to help protect intellectual property rights.

All intellectual property generated by the University's employees remains the property of the University. However, the University may agree to share the value or proceeds of these with external sponsors subject to the terms of any contract(s) in place. The University will share the value or proceeds with individual University-employed researchers under the terms of its Exploitation of Inventions and Patents Policy



KU EIP Policy

As a general principle, the University recognises both undergraduate and postgraduate students as the owners of any IPR they produce while registered as a student. Assignments of those rights (perhaps in part) to the University or a third party may be necessary depending on the nature of any collaborative agreement or sponsor, or if requested by a faculty at the start of a project. If such an assignment is required, then the student's consent must be obtained before any research commences.

### 3.6 Conflicts of Interest

Any potential conflicts of interest (legal, ethical, moral, financial, personal or other) must be disclosed to the Head of School (or their delegate, e.g. The School director of Research) who will determine what further action should be taken. For further information see the [University Anti-Bribery policy](#).

### **3.7 Health & Safety**

Researchers must follow the requirements of the [University Health and Safety Policy](#), along with any reasonable additions requested by the [University Health and Safety Manager](#), who can be consulted if there are any concerns about the project.

Employees have responsibilities to take reasonable care of themselves and other people affected by their work activities and to co-operate with the University in meeting their legal obligations. Please note the following:

- If a member of staff or student, for significant periods of their working or research time, is engaged in activities which places them in a situation without direct contact with other staff/students, or without direct supervision, during an activity that places that person at significant risk of exposure to a hazard (or number of hazards), a lone working risk assessment should be undertaken.
- Any member of staff or student is working elsewhere for significant periods, a workstation assessment should be undertaken.

If a member of staff believes that the health or safety of any individual has been, or is likely to be endangered, or that the environment has been, or is likely to be damaged, then they should seek advice from the [University Health and Safety Manager](#) at the earliest stage possible.

### **3.8 Safeguarding**

Kingston University is committed to the safety and wellbeing of all students, staff, and visitors and has a legal duty to safeguard children, young people, and adults at risk.

As lead of a research project, you must ensure provision of a safe environment beneficial to work and study for everyone involved within your research project, including collaborators, students, employees and participants. That includes any research undertaken off-site, for which you should

- provide a risk-assessment,
- ensure travel is booked through the Kingston University (KU) travel agent and covered by KU insurance and
- consider whether any risk is appropriate and has appropriate mitigations. At one end of the spectrum that may include ensuring that people do not travel



alone or have equipment to contact others if in difficulty or rearranging fieldwork venues to avoid war zones at the other extreme.

Safeguarding includes all risks, e.g. sexual harassment and bullying, as well as physical, discriminatory, mental and/or financial abuse. You should ensure that everyone involved is appropriately supported and directed to the [Safeguarding Policy](#) and [Safeguarding Concern Reporting Form](#). This must also be reflected within your research design and will be considered during the research ethics review process.

### **3.9 Research Impact**

The potential to generate social, economic, cultural and environmental impact beyond the academic discipline should also be considered at the outset of the project, and measures should be put in place to facilitate impact and to obtain the data required to evidence impact. Any evidence of impact and/or public engagement arising from the research should be documented and recorded. The accurate recording of 'pathways to impact' is crucial to identifying further opportunities where impact can be generated and enhanced. Please contact the [Impact Development Managers](#) for guidance.

## **4 Research Outputs**

### **4.1 Peer Review**

Peer review is a vital part of good, collegiate research practice and particularly so in relation to the publication and dissemination of research; the assessment of applications for research grants, and for reviewing the ethics of research projects. Researchers are expected to act as peer reviewers wherever possible within and outside the University. Researchers should make use of formal and informal peer review throughout the course of the research, including the design stage.

### **4.2 Publishing Research Outcomes**

The University expects colleagues to aim to generate prestigious, high-profile publications or other forms of research output. Dissemination of outcomes via conferences of international standing and dissemination in the form of journals, books and/or monographs are encouraged. Remember that sponsors must be informed of any dissemination of the research findings.

All published research outputs should be made available through the Kingston University Research Repository; this is critical for compliance with Open access practices and to meet the requirements of the Research Excellence Framework exercises (see below on Open access publishing).

### **4.3 Authorship and Acknowledgement**

Authorship should be restricted to those collaborators who have made a significant intellectual or practical contribution to the work. When there are a large number of contributors, their contributions must be acknowledged and agreement reached about authorship and copyright. Authorship should be based on 1) substantial contributions to conception and design, or acquisition of data, or analysis and interpretation of data; and 2) drafting the article or revising it with important intellectual content. Funding sources must be acknowledged unless the sponsor states otherwise.

#### **4.4 Open Access Publishing**

The University is committed to ensuring that the outputs of our research are freely accessible. The [University Open Access Policy](#) supports researchers in meeting UKRI and other research funder requirements. A [University Open Access fund](#) has been established to support publishing using the gold open access route when appropriate. Further information and guidance regarding open access is available on [StaffSpace](#).

#### **4.5 Dissemination of Research and Impact**

Researchers have an academic duty to disseminate their research as widely as possible, especially to those who will benefit directly (both academic and non-academic beneficiaries), and to present their research where it will have the greatest impact. Please contact the [Impact Development Managers](#) for guidance.

## 5 External Funding to Support Research and Related Activities

The University expects researchers to seek external funding to support research activities. Detailed guidance on how to develop and prepare a research grant application is available on [StaffSpace](#). When you first consider developing a funding application, you must contact your Faculty [Research Development Manager](#) (RDM) to discuss the application. The RDM should be engaged with the development of the application from that point onwards. They will be able to provide costings and to check that the bid is compliant with the requirements of the funder, as well as providing advice and liaising with external partners.

All applications for research funding, whether, or not Kingston University is leading, must go through the University procedures, including appropriate sign-off, in sufficient time to allow for internal peer review to be conducted. The RDM will advise as to the exact process.

However, circumstances arise where either the funder/partners, their ethics, the associated risk or the content of the research itself may raise questions beyond those processes or abrogating trusted research and/or dual use principles. This forms 'Contentious Research' and is managed by an ad hoc committee, the current process is described [here](#).

The Principal Investigator (PI) is responsible for the overall management of the research project. When an award has been confirmed and a start date confirmed a 'kick off meeting' may be arranged depending on the PIs experience and the size of the award; to ensure that any resource issues and the responsibilities for monitoring and auditing are fully understood and agreed by all parties at the outset. Alternatively guidance will be provided via email. The Research Finance Team, in liaison with the appropriate ROM, provide the support, systems and processes to help carry out the work. It is expected that the ROM will support the PI by monitoring progress against key milestones and (with the Finance team) support the PI in delivering reports to deadline.

Consultancy and commercial research contracts should be negotiated through Kingston University Enterprise Limited ([KUEL](#)), the University's subsidiary company for commercial activity.

## 6 Links to Relevant Documents

### 6.1 Kingston University Policies and Guidance

- Current research strategy: [Town House Strategy](#)
- [Data Protection and Research](#)
- [Guidance on managing sponsored research projects](#)
- Postgraduate research policies and practice: [Postgraduate Researcher Handbook](#).
- Research ethics guidance: [University Ethics Guidance and Procedures for Undertaking Research Involving Human Subjects](#)
- [University Consultancy Policy](#)
- [University statement on Modern Slavery](#)

#### [Policies and regulations 2022/23](#)

- Data retention
- University Intellectual Property Rights Policy
- University Procedures for External Research Funding
- University Financial Regulations
- University Procedures for Dealing with Misconduct in Research Staff
- University Freedom of Speech and External Speakers Policy
- University Whistleblowing policy

#### [Research Policies and Guidance](#)

- University Open Access Policy
- University Data Protection Policy
- University Knowledge Transfer Partnerships Procedures

## 6.2 National/International Guidance

- UK Research Integrity Office (UKRIO), [Code of Practice for Research](#)
- Vitae: [The Concordat to Support the Career Development of Researchers](#)
- Universities UK: [Concordat to Support Research Integrity](#)
- UK Research Councils: [Policy and Guidelines on the Governance of Good Research Conduct.](#)
- Department of Health's [Research Governance Framework for Health and Social Care](#)
- [Vitae Researcher Development Framework](#)
- UKRI: [Research Data Policy](#)
- The ICO: [Information Commissioner's Office](#)

Any queries about this Guide should be directed to [research@kingston.ac.uk](mailto:research@kingston.ac.uk).