

Research and Enterprise Integrity Framework (v3)

Approved

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1.0 Statement on Research and Enterprise Integrity

The University has a rich and diverse profile of research and enterprise activity across a broad range of subjects. We are committed to ensuring that our knowledge and activities deliver real-world benefits through research, enterprise, knowledge exchange, external engagement and scholarship of practice – any reference to research and enterprise throughout this Research and Enterprise Integrity Framework (“Framework”) refers equally to all these elements.

Research and enterprise activities undertaken by the University should strive for excellence, have a clear purpose, be innovative and should aim to exceed recognised standards for research practice, enterprise engagement, ethics and integrity, thereby maintaining the confidence of the public and collaborators in the University’s governance of research and enterprise.

The University recognises that all excellent research and enterprise needs to be underpinned by the highest standards of practice and confidence in both the integrity of its undertaking and the institutional systems for ensuring these occur. Foundations for our research and enterprise, the features that will characterise our research and enterprise, and the futures we anticipate are set out within the [Strategic Plan for Research & Enterprise 2018–2023](#) which is driven by our Mission, Values and University Strategic Framework.

2.0 Principles for University research and enterprise activity

Research and enterprise is a core contributor to our identity, and is at the forefront of the way in which our stakeholders and communities engage with and perceive the University. The University's values and commitments of transforming individuals, creating knowledge, enriching communities and building a sustainable future are the core principles for our research and enterprise activities.

A. Our research and enterprise is governed by the ambitions, aims and values of the University. Hence, all activities falling within the remit of this Framework are expected to align with the strategic aims and key strategies outlined within the Strategic Framework (<https://cccu.canterbury.ac.uk/strategic-framework/strategic-framework.aspx>).

The University's' commitments to a just and sustainable society are framed by key initiatives and policies, including:

- enhancing mental health and wellbeing
- delivering on Equality and Equal Pay and Living Wage commitments;
- enacting the principles of Ethical Investment and Trade
- contributing to Environmental Sustainability
- supporting our Armed Forces and Armed Forces communities¹.

B. For ethical reasons the University will not engage in research or enterprise where such interaction is considered unethical and might conflict or be inconsistent with the values, aims, objectives and/or activities of the University. This includes, but is not limited to, ensuring it supports the aims of the modern slavery act to abolish the use of forced labour and to discourage human trafficking.

C. The University is fully committed to the [Concordat to Support Research Integrity \(2019\)](#), developed by Universities UK in consultation with the UK higher education sector, and with which the university is required to comply in order to receive funding from Research England and UKRI. Consequently, all research and enterprise at the University must be conducted according to the core elements of the Concordat, the descriptors for which have been extended for the purposes of this Framework to also cover enterprise, knowledge exchange, external engagement and scholarship of practice.

- **Honesty** in all aspects of research and enterprise, including in the presentation of goals, intentions, findings, outcomes and feedback; in reporting on projects and

¹ The University is committed to the [British Armed Forces Covenant](#).

their methods and procedures; in gathering insight and data; in collaborating, and using and acknowledging the work and input of collaborators; in communicating with partners and in conveying valid interpretations and making justifiable claims based on findings and partnership working.

- **Rigour**, in line with prevailing disciplinary, industry and sector norms and standards: in performing research and undertaking enterprise using appropriate methods and approaches; in adhering to an agreed protocol where appropriate; in drawing interpretations and conclusions; and in communicating results, outcomes and feedback.
- **Transparency** and open communication in declaring conflicts of interest; in the reporting of data collection methods or partnership approaches; in the analysis and interpretation of insight and data; in making findings and feedback widely available, which includes sharing negative results and feedback, as appropriate; and in presenting the work to interested parties and to the general public.
- **Care and respect** for all participants in research and in enterprise activities and partnerships, including humans, animals, the environment and cultural objects. Those engaged with research and enterprise must also show care and respect for the stewardship of research, enterprise and scholarship for future generations.

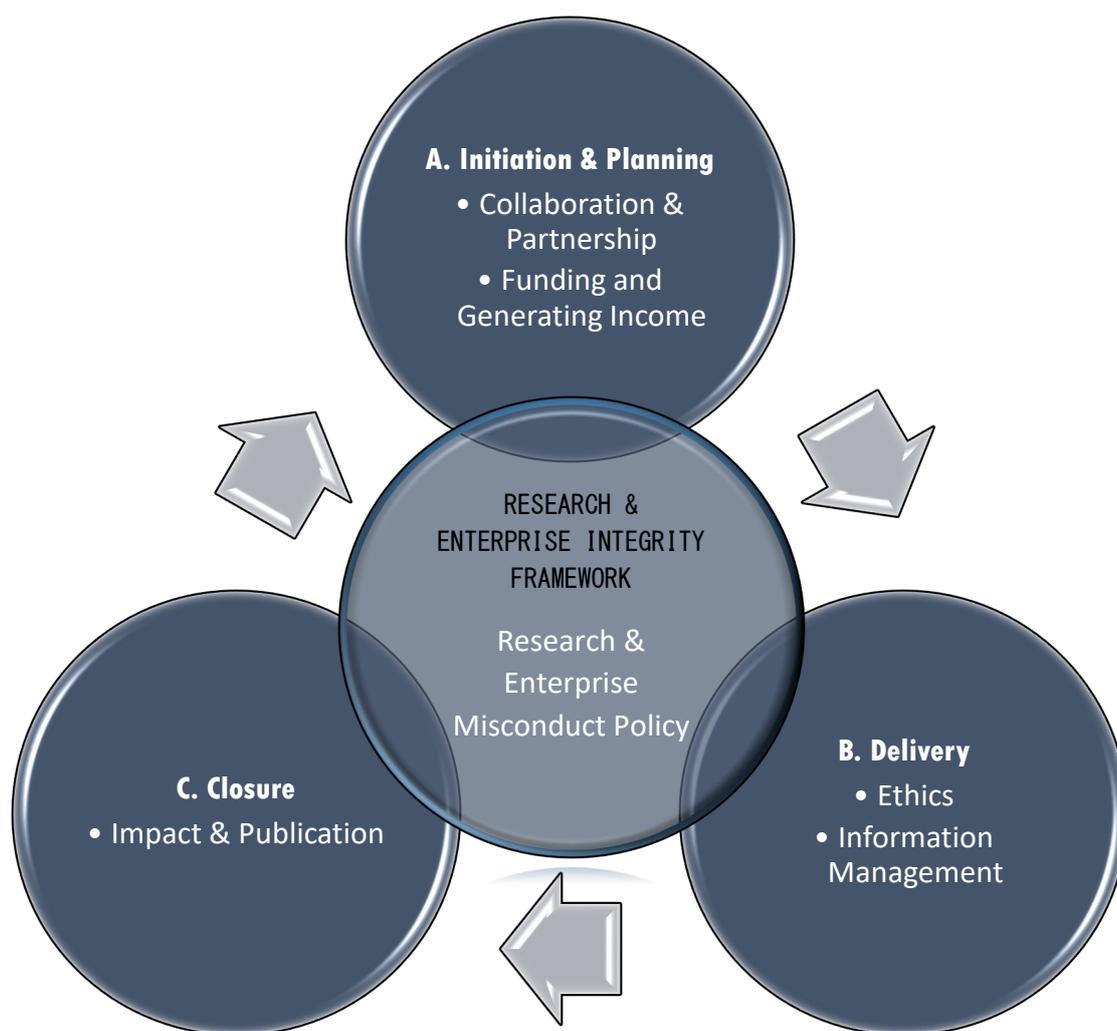
D. The University will engage in creative and innovative thinking and partnerships to push the boundaries of research and enterprise and its impact. A culture of transformative thinking leading to new ideas and new imaginations should be encouraged within all research and enterprise activity.

3.0 The Framework

As a governance instrument of Academic Board, with oversight delegated to Research and Enterprise Integrity Committee, the Research and Enterprise Integrity Framework provides a structure which outlines the institutional systems, processes, policies, procedures, and codes of practice that provide assurance of the integrity of our research and enterprise, as well as acting as a tool to drive quality improvement.

The documents located within the Framework are organised according to a project lifecycle. However, this is for organisational and presentational purposes, and the location of a policy or procedure in one part of the lifecycle should not be taken to mean that it does not apply to other parts. For example, impact is included as part of project closure, but should be considered from the planning stages and throughout delivery to ensure that it is maximised. Equally, not all policies and procedures will be relevant to all research and enterprise activities.

Annex A provides a full list of all policies, procedures and codes of practice located within the Framework.



4.0 Scope of the Framework

The Research and Enterprise Integrity Framework is the University's primary regulatory and compliance document for research and enterprise integrity. It is the way in which the University meets Research England's compliance requirement to ensure research and enterprise is conducted according to the *highest standards of integrity*, and is the basis for providing assurance in this area to the Office for Students in our annual assurance return.

This Framework comprises policies², procedures³, and codes of practice⁴ for research and enterprise activities to ensure integrity, quality assurance, and quality improvement and enhancement. This includes issues of compliance with internally and externally mandated and expected standards. It applies to **all** research and enterprise activities undertaken at, on behalf of, or under the auspices of the University. Staff members and students are responsible for ensuring they are familiar with the University's expectations and for compliance with the policies, procedures and practices that make up the Framework (Annex A).

RESEARCH AND ENTERPRISE ACTIVITIES UNDERTAKEN BY STUDENTS

All research and enterprise activities undertaken by students of the University must comply with this Research and Enterprise Integrity Framework. Specific provisions are in place for undergraduate and postgraduate taught programmes, and postgraduate research programmes:

Undergraduate and Postgraduate Taught Programmes

Responsibility for ensuring compliance with the Framework, including appropriate and proportionate ethical review for research and enterprise activity rests with the academic school or programme/unit concerned. Quality assurance and oversight of the processes for ethical review of students on taught programmes sits with Boards of Study.

Postgraduate Research Programmes

All research by postgraduate research students will be subject to the same degrees of compliance and scrutiny as staff research and enterprise activity. The monitoring of governance of research and enterprise activity on postgraduate research programmes sits within the processes reported in the Annual Compliance Statement on Research and Enterprise Integrity.

² A **policy** is a course or principle of action that must be adopted by all within the scope of that policy. In the event of any conflict between a policy within this Framework and any of the procedures, and/or codes of practice, or guidance that sits outside the Framework, the policy shall prevail.

³ A **procedure (or process)** is an established series of actions conducted in a certain order or manner to ensure consistency, adherence to policy and the highest standards of quality.

⁴ A **code of practice** is a set of written rules and/or standards which explains how people working in a particular profession are expected to behave.

5.0 Research and Enterprise Governance

The Academic Board, chaired by the Vice-Chancellor and answering to the Governing Body, oversees the academic governance of the University.

Deriving its authority from Academic Board, the Research and Enterprise Integrity Committee (REIC), chaired by the *Senior Pro Vice-Chancellor (Research, Enterprise and Business Development)*, has oversight of the development and implementation of this Research and Enterprise Integrity Framework. The REIC's Terms of Reference and schedule of delegation are available at: <https://cccu.canterbury.ac.uk/academic-board/academic-board.aspx>.

The University [Research & Enterprise Misconduct Policy](#) applies to all staff and postgraduate research students engaged in research and/or enterprise for and on behalf of the University. It excludes studies carried out by students registered on taught programmes at undergraduate and/or postgraduate level. Such students will be subject to the disciplinary procedures determined by the [Student Procedures Office](#). Observed or suspected research and enterprise misconduct must be reported to the *Head of Integrity, Development and Excellence* at integrity@canterbury.ac.uk. Full details can be found within the [Research and Enterprise Misconduct Policy](#).

The University Solicitor's Office will act as confidential liaison for whistle blowers or any other person wishing to raise concerns that do not sit within the Research and Enterprise Misconduct Policy. Full details can be found within the [Whistleblowing Policy for Staff](#) and [Student Guidance on the University's Whistleblowing Procedure](#).

The [Research Integrity and Contracts Manager](#) acts as the first point of contact for anyone wanting more information on matters of research integrity.

6.0 Monitoring and Audit

The University will participate in an annual monitoring exercise to demonstrate that it has met the commitments of the Concordat to Support Research Integrity. Research and Enterprise Integrity Committee will annually review the scope of all policies, procedures, and codes of practice within the Research and Enterprise Integrity Framework to ensure that, individually and collectively, they remain 'fit for purpose'.

An Annual Compliance Statement for Research & Enterprise Integrity will be produced and presented to the Governing Body, and once approved will be published on our external website. The Annual Statement will include a summary of actions and activities undertaken to support and strengthen research integrity; assurance that the processes in place for dealing with research misconduct are transparent, robust and fair; any formal investigations of research misconduct undertaken, and any lessons learnt; and a statement on how we create a research environment where all staff, researchers and students feel comfortable to report incidences of research misconduct.

Annex A: Policies, Procedures and Codes of Practice

PART 1: INTERNAL

Document title	Class of document	Document Owner	Document reviewer	Date last reviewed ⁶	To be updated by (suggested dates)	First review date ⁷
Research & Enterprise Misconduct Policy	Policy	RD	RD/EE	2022	2022	2025
A. Initiation & Planning						
Collaboration and Partnership						
<ul style="list-style-type: none"> Due diligence policy and procedure (for collaboration with external partners) 	Policy/Procedure	EE	EE/GLS/Finance/RD	-	2023	2026
Funding and Generating Income						
<ul style="list-style-type: none"> 10 Steps to Submit a Bid for external Funding (Summary of Bid Development Policy) 	Policy	RD	RD /Finance	2019	-	2022
<ul style="list-style-type: none"> Research Contract Procedure 	Procedure	RD	GLS/RD	-	2022	2025
<ul style="list-style-type: none"> Individual Consultancy Policy 	Policy	EE	EE/RD/GLS/Finance	2021	2021	2024
<ul style="list-style-type: none"> Enterprise Opportunities Assessment Tool 	Procedure	EE	EE	-	2023	2026
<ul style="list-style-type: none"> Intellectual Property Policy 	Policy	EE	EE/GLS/RD	2014	2023	2026
B. Delivery						
Ethics						
<ul style="list-style-type: none"> Research Ethics Policy 	Policy	RD	RD	2020	2020	2022
<ul style="list-style-type: none"> Research Ethics: Code of Practice 	Code of Practice	RD	RD	2007-2017	2023	2026
Information Management						
<ul style="list-style-type: none"> Research Data Policy 	Policy	RD	RD/GLS	2009-2016	2023	2026
<ul style="list-style-type: none"> Data Protection in Research: Code of Practice 	Code of Practice	GLS	GLS/RD	-	2022	2025
C. Closure						
Impact & Publication						
<ul style="list-style-type: none"> Open Access Policy 	Policy	LLR	LLR/RD	2019	-	2022
<ul style="list-style-type: none"> Protocol for the authorship of research publications 	Procedure	LLR	LLR/RD	2014	2023	2026

Key

RD – Department of Research Development

EE – Department of Enterprise and Engagement

GLS – Governance and Legal Services

LLR – Library and Learning Resources

PART 2: EXTERNAL

(Please note that this is not an exhaustive list)

[UK Research and Innovation, Research Integrity](#)

[Concordat to Support Research Integrity](#)

[UK Policy Framework for Health and Social Care Research](#)

[Mental Capacity Act \(2005\)](#)

[Children Act \(2004\)](#)

[Human Tissue Act \(2004\)](#)

[Data Protection Act \(2018\)](#)

[UK General Data Protection Regulations \(UK GDPR\)](#)

[Research Excellence Framework 2021](#)