Research Integrity and Research Ethics Policy

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1 Purpose

1.1 This document sets out the Policy for managing Research Integrity and Research Ethics at Rothamsted Research (RRes). RRes has developed this Policy to support our Researchers in conducting Research of the highest quality and integrity. This Policy should be read in conjunction with the relevant associated RRes policies, processes and terms of reference. Guidance about this Policy or the associated policies, in relation to their application is available from the RRes Research Integrity Committee (RIC@rothamsted.ac.uk).

2 Rationale

2.1 RRes operates in many sectors both nationally and internationally in pursuit of its aim to feed a growing world population in a more sustainable manner. Within the context of a complex and ever-changing world, a rigorous approach to the ethical and principled conduct of Research requires close scrutiny, attentiveness, and increasingly careful navigation. Establishing a Policy is therefore essential and signals RRes's commitment to maintaining the highest standards of professional conduct, whilst reinforcing its credibility and trustworthiness; as well as the societal and environmental value of the scientific Research undertaken within the organisation. Working to this Policy is a key control to ensure required due diligence and good practice in relation to Research Integrity and Research Ethics, including the safeguarding of the rights, safety, dignity, and well-being of research participants. It is vital that Research Integrity and Research Ethics are well understood by Researchers and applied to all Research and that guidance is in place to support good practice. Those outside RRes can have confidence that RRes Researchers operate to the highest standards from a Research Integrity and Research Ethics perspective and that frameworks are in place to support Researchers to achieve this. Working to this Policy ensures RRes's Research is conducted in line with research Funder expectations. This Policy is aligned with the Concordat to Support Research Integrity, and has drawn upon a review of existing policies and codes of practice, including those of Bangor University, the British Geological Survey and the London School of Hygiene and Tropical Medicine [Acknowledgements & References]

3 Scope

3.1 This Policy applies to all RRes employees with fixed, permanent, or temporary contracts, visiting workers (including Emeritus and Honorary), students or anyone carrying out Research on behalf of RRes or on behalf of RRes for other organisations. This Policy applies to all public and privately funded Research undertaken at RRes including proposed, planned, and ongoing Research, consultancy, and to all subsequent outputs/outcomes e.g., publications, presentations, and innovations.

4 Principles

4.1 General Principles

4.1.1 RRes expects that all Research conducted under its auspices at any location must be undertaken to the highest standards in accordance with good Research practice. This expectation is upheld irrespective of whether the work is undertaken as part of RRes-led Research or when RRes is contributing. All Research conducted by RRes must adhere to the Government Concordat to Support Research Integrity which aims to provide a national framework for good Research conduct. The Concordat was devised by ten renowned signatories with assistance from the UK Research Integrity Office (UKRIO). The Concordat defines Research Integrity through five core elements: honesty; rigour; transparency and open communication; care and respect; and, accountability. Definitions of these core elements are provided in Annex A.

4.1.2 The Concordat specifies **five commitments** for Researchers, Employers, and Funders:

1. Uphold the highest standards of rigour and integrity in all aspects of Research.
2. Ensure that Research is conducted according to appropriate ethical, legal, and professional frameworks, obligations, and standards.
3. Support 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. Use transparent, timely, robust, and fair processes to handle allegations of Research Misconduct when they arise.
5. Work together to strengthen the integrity of research.

4.1.3 Integrating these commitments into our research culture at RRes conveys to partners, collaborators, stakeholders, participants, and Funders, as well as to each other, that all our Research is conducted in a transparent, professional, and ethical manner.

4.1.4 In keeping with the expectations laid out in the Concordat, all RRes Researchers adhere to the following principles, which have been derived from the core elements:

- **Honesty** - Results, findings and claims are accurate, can be justified, and acknowledge the contribution of others. Researchers should not engage in or conceal Misconduct. Researchers should be honest whether in relation to their own actions, or those of others, and in all aspects of conducting Research beginning with the application for Research funding and running right through to the publication and dissemination of results. Research projects should report appropriate Research design, methodology and framework.
- **Rigour** - Research should be conducted with the utmost rigour in line with prevailing disciplinary norms and standards, current best practice and using appropriate methods; in adhering to an agreed protocol where appropriate; in drawing interpretations and conclusions from the Research; and in

communicating the results. Researchers should ensure that data and results are precise, valid, reproducible, and authentic when drawing conclusions and when reporting results. They should communicate clearly the methods used to collect, analyse, and disseminate data. This involves being able to demonstrate fully documented protocols with precise details, original data sets, versions of software used, and documenting consistency of multiple outcomes. Data must be collected in accordance with ethical principles, and analysed and disseminated appropriately, including negative data, to ensure that findings are robust, and defensible.

- **Integrity** - Researchers have autonomy in their academic choices. RRes requires that Researchers accept responsibility for the decisions made and take responsibility for acting in accordance with the principles of Research Integrity and Research Ethics. If their Research project has a major change of direction the Researchers should inform the sponsor or any other relevant body.

- **Transparency, and Open Communication** - in declaring potential competing interests; in the reporting of Research data collection methods; in the analysis and interpretation of data; in making Research findings widely available, which includes publishing or otherwise sharing negative or null results to recognise their value as part of the Research process; and in presenting the work to other Researchers and to the public.

- **Safety, care, and respect** - ensuring the dignity, rights, and wellbeing of all (Researchers and Participants) is observed during Research is paramount, and subject to assessment and control. Also ensuring appropriate steps are taken to minimise any risks to health and safety of those conducting or participating in research . Researchers treat each other and their Research with utmost care and respect and recognise others' contributions. RRes has safeguarding procedures to protect the welfare of children under the age of 18 and Vulnerable Participants. Within Research projects this may include staff, students, and collaborators, as well as anyone directly affected by our Research or activities while on site, whilst working virtually, or undertaking fieldwork in the UK or internationally. Safeguarding in international Research is defined as: "preventing and addressing any sexual exploitation, abuse, or harassment of Research participants, communities and research staff, plus any broader forms of violence, exploitation and abuse such as bullying, psychological abuse and physical violence" (UKCDR 2020) and will be applied to all Research projects. Confidentiality of Human Participants and their data is maintained during the Research. Informed Consent must be provided by Human Participants before Research begins. Should a need arise for participants to become known to one another or, their data shared, revised Informed Consent must be obtained in advance. All data should be handled in accordance with laws governing personal data and personal data sharing applicable to the country in which the data will be processed e.g., UK and EU GDPR regulations. Further information can be found here: A guide to international transfers | ICO.

- **Accountability** - Researchers are accountable to RRes both in and through their Research and act accordingly; ensuring compliance with agreements, terms and conditions relating to the Research project, and following any

requirement or guidance from any professional body in their field of research if regulated. Researchers must be aware of expectations of this Policy, the Concordat, Funder policies and guidelines on expected governance and good Research conduct, and frameworks when accepting Research funding. Funders increasingly require Researchers to consider principles of Responsible Research and Innovation (RRI) which are related to, but distinct from Research Integrity as defined in this Policy. Further information can be found here: Framework for responsible research and innovation – UKRI.

4.2 Expectations & Governance

4.2.1 The Research Integrity Committee (RIC) provides governance on Research Integrity and Research Ethics.

4.2.2 The Research Ethics Committee (REC) provides support, review and approval of Research raising potential ethical issues, including Research involving Human Participants, their tissue, or their data. REC reports to RIC.

4.2.3 The Animal Welfare and Ethical Review Body (AWERB) provides governance in relation to Research involving animals (vertebrates and cephalopods) undertaken by RRes, as defined in the Use of Animals in Research Policy.

4.2.4 The commitments in the Concordat should be adopted and apply to: (i) Research grant applications and project proposals where RRes is the leading (lead-applicant, submitting organisation), co-applicant (single or joint submission), collaborator, project partner or sub-contractor; (ii) publication or dissemination of Research findings.

4.3 Permissions and Legislation

4.3.1 Researchers will have secured all required permissions in all the countries where the Research will take place before the Research begins.

4.3.2 Researchers will have investigated and ensured the proposed or planned Research and outputs comply with any current and relevant national laws including obtaining relevant licences under export control regulations for academic Researchers.

4.4 Research Ethics Committee (REC)

4.4.1 Research takes place following confirmation from REC the proposed study can begin. REC will review those projects raising ethical issues, including, but not limited to, all Research involving Human Participants (including human tissue and data), Research proposing genetic modification or genetic engineering to achieve gene drive or dual-use outcomes, and Research that may cause or identify (e.g., through surveys) contamination of food or water with implications for human health. REC will use clarifications from PIs to inform their decision making. REC can seek guidance from external subject matter experts where necessary.

4.4.2 REC provides the necessary forums, tools, guidance, and processes such that Researchers can conduct Research that (i) ensures the protection of the rights, well-being, dignity, and confidentiality of Research Human Participants, (ii) minimises potential risks and harm to Human Participants, (iii) ensures that the potential benefits of the Research outweigh potential harms, and that the Research study serves the best interests of the Human Participants.

4.4.3 REC approval will only be possible when Researchers can evidence proposed studies have gained approval from regulatory bodies where necessary, in the UK and internationally, and from relevant local bodies, e.g., government district office for a sampling activity.

4.4.4 The REC will reinforce the importance of Researchers considering ethical issues and seeking advice, review, and approval, as appropriate, at bid stage and award stage, and continued dynamic review throughout the Research, including an end of study report.

4.4.5 Guidance and support for Researchers will be available from the REC for planned Research including studies in, around or that may affect indigenous territories and cultures. Advice will be provided by REC on the implications and requirements as described in the UN Declaration on the Rights of Indigenous Peoples | OHCHR ; untitled (ohchr.org) (A/RES/61/295) and principles for indigenous data governance https://www.gida-global.org/care

4.5 Research Involving Human Participants

4.5.1 Research involving Human Participants requires review by the REC before the Research study begins.

4.5.2 Human Participants are recruited to the study following receipt of Informed Consent, as appropriate to the study. Human Participants are also permitted to withdraw their Informed Consent. Details can be found here https://ico.org.uk/for-organisations/uk-gdpr-guidance-and-resources/the-research-provisions/exemptions/#applying

4.5.3 Where financial compensation or incentive is provided to Human Participants of Research, it is crucial to emphasise that such offerings are intended solely as a token of appreciation for their time and contribution, and to compensate any costs directly incurred such as travel to a study site. The provision of incentives will in no way compromise the voluntary nature of participation, the Integrity of Research outcomes, or the informed Consent process. Human Participants are reminded that their decision to take part in Research remains entirely voluntary, and their rights, privacy, and the overall quality of the Research findings will be safeguarded regardless of their choice to participate or withdraw. Where national ethics review bodies have their own guidance on compensation and study protocols, these should be reviewed by Researchers and considered for suitability and conflict in line with RRes policies and then followed where acceptable to RRes.

4.6 Research Involving Animals

4.6.1 Research involving animals (vertebrates and cephalopods) is overseen by The Animal Welfare and Ethical Review Body (AWERB), in accordance with the Use of Animals in Research Policy. AWERB reports to the Establishment License Holder or, in the case of corporate licence holders, the Named Person Responsible for Compliance (NPRC). The Chair of AWERB is also a member of the RIC.

4.7 Collaborations

4.7.1 Where appropriate, collaborations will be governed by collaboration agreements with which Researchers will comply fully.

4.7.2 RRes acknowledges that it cannot enforce its Research Integrity principles on other institutions and that this understanding informs decisions to collaborate prior to Research being planned and undertaken.

4.7.3 Where RRes is a collaborator but not the lead on Research, RRes will require the same stringent ethics checks are in place before progressing.

4.7.4 When undertaking collaboration internationally, RRes expects that all Research will follow the Trusted Research and Innovation Policy and Export Control Guidance published on the RRes intranet and that third party due diligence will have been followed.

4.8 Alleged Research Misconduct

4.8.1 The definition of misconduct is covered in the Rothamsted Research Investigating Allegations of Misconduct in Scientific Research Policy. The RRes Policy and process for Alleged Research Misconduct detail RRes's approach to handling allegations of misconduct.

4.9 Funders and Funding

4.9.1 Funding is used for the purpose agreed with the Funder and outcomes and reports are supplied to the Funder and any other parties as and when required or requested.

4.9.2 Upon request, RRes will provide information to Funders on its management and processes in relation to Research Integrity and Research Ethics.

5 Roles and Responsibilities

5.1 The Chair of the Research Integrity Committee (RIC) is nominated by the Rothamsted CEO.

5.2 The Chair of the RIC is the executive champion for Research Integrity and is responsible for the overarching framework. The RIC Chair can seek guidance from the Rothamsted CEO as required.

5.3 The Chair of RIC ensures that there is a Research Ethics Committee (REC), including terms of reference and processes, and is the point of escalation for the REC. The Chair of the REC is nominated by the RRes CEO.

5.4 The RIC will report periodically to IET and the RRes Board.

5.5 The RIC is responsible for the Research Integrity and Research Ethics Policy, the RRes's Investigating Allegations of Misconduct in Scientific Research Policy and the Alleged Misconduct Procedure.

5.6 The RIC ensures that policies and procedures associated with Research Integrity and/or Research Ethics are reviewed periodically for suitability in relation to this Policy. Where necessary, the RIC will request owners of the policies and procedures to make changes. Changes may be required in response to Funder requirements, legislation, statutory requirements, or any other Research Integrity or Research Ethics related requirements. Proposed changes are reviewed and approved by IET.

5.7 The Research Integrity Nominated Officer (RINO) is responsible for representing RRes both internally and externally in relation to Research Integrity related matters. They are the first point of contact for all matters related to Research Integrity and seek guidance and sign off from the RIC as required.

5.8 The Research Ethics Nominated Officer (RENO) is responsible for representing Research Ethics on behalf of RRes both internally and externally. They are the first point of contact for all matters related to Research Ethics. They are also the Chair of the REC and escalate matters as necessary to the Chair of the RIC.

5.9 The RIC and REC are responsible for providing guidance on RI/RE sections in RRes associated policies and processes and for ensuring suitability of RI/RE training.

5.10 The RINO and RENO will prepare an annual summary for publication on RRes's external facing website, as required by the Concordat. The annual statement will use the template created by the UK Research Integrity Office and the Concordat signatories as a guide template-annual-statement-on-research-integrity.doc (live.com), which includes:

- Key Contact Information.
- A summary of activities that took place during the year in support of continued best practice.
- Assurance that Research Integrity is taken seriously, and processes are in place to deal with allegations of Research Misconduct.
- A summary of any formal investigations of alleged Research Misconduct, lessons learned, and remedies incorporated into processes to avoid the situation arising again.
- A summary of how RRes provides an environment where Researchers know how to and, feel comfortable to report alleged Research Misconduct.

5.11 The REC represents RRes as required in all strategic matters related to ethics both internally and externally. It is responsible for cascading, sharing, interpreting, and communicating to RRes about matters related to ethics. It is responsible for maintaining a RE risk log. REC will report periodically to the RIC on successes, challenges and focus for the next quarter.

5.12 The REC Chair has autonomy to determine the membership of a committee suitable for RRes' needs, including external members or advisors as required.

5.13 The REC has autonomy to approve Research protocols within its remit and failure to seek and abide by REC approvals will be considered Research Misconduct. The REC sets the criteria for the level of review required depending on the type of Research planned. REC is reactive when required to support with reviewing Research designs for bid proposals and commits to take no more than 4 weeks to process any review. The REC can, if necessary, seek guidance from RIC or the Rothamsted CEO, who may in turn escalate to others for guidance or support with decision making.

5.14 The REC is responsible for ensuring Researchers submitting grants or starting new Research are made aware of the RE process and practice. The REC is responsible for ensuring other relevant RRes stakeholders, e.g., the Research Grants team are made aware of the requirements for Researchers, and how to check for compliance. REC is also responsible for ensuring that at award, all members of the project are made aware of their ethical responsibilities in relation to any collaboration agreements and Funder requirements.

5.15 The REC is responsible for reviewing ethics plans for collaborations where RRes is not the lead and discuss any concerns with the RRes lead Researcher and the collaborating institution(s) PI.

5.16 RRes Researchers are responsible for familiarising themselves with the Research Integrity and Research Ethics Policy and for raising any questions to their Line Manager or the RINO or RENO respectively via RIC@rothamsted.ac.uk

5.17 RRes Researchers and other relevant RRes staff have a responsibility to complete training in all aspects of RI and RE and in relation to associated policies and processes. Researchers and other relevant RRes staff will be notified of and provided with access to subject matter experts for supplementary ad hoc guidance when required.

5.18 Researchers accept all robustly generated, sound and reproducible Research results, irrespective of whether the outcomes align with anticipated expectation, and understand that null, nil, or unforeseen results contribute to the validation of a specific result or require the exploration of alternative approaches to confirm its accuracy.

5.19 Researchers have a responsibility to consider the benefits and risk of their Research on the national/international academic community and society, and to consider how to communicate their findings effectively and make their Research accessible.

5.20 Responsibility for ensuring that appropriate ethical approvals are sought and obtained lies with the project PI or lead within RRes, and with supervisors of students and Visiting Workers.

5.21 Researchers are responsible for acquiring and recording of Informed Consent from Human Participants, and also any withdrawals of Informed Consent from Human Participants.

5.22 Researchers communicate clearly to all Human Participants that Research remains entirely voluntary, and their rights, privacy, and the overall quality of the Research findings will be safeguarded regardless of their choice to participate or withdraw; even where financial compensation or incentive is provided.

5.23 Researchers observe and follow the processes in place for safeguarding in the event Human Participants are classified as Vulnerable Participants.

5.24 Researchers must inform appropriate ethics committees regarding any serious issues that arise, including those related to participant wellbeing and safety.

5.25 If the scope or methods of a project change such that new or additional ethical implications may arise, Researchers will submit a protocol amendment application to the REC and will ensure revised approval from the REC is received before progressing.

5.26 Researchers will, in the event of a dispute regarding Research Integrity or Research Ethics during a project contact RIC@rothamsted.ac.uk to request guidance.

5.27 Researchers will ensure Research conducted overseas has approval by an appropriate national Research Ethics committee. Researchers will be responsible for ensuring the REC is provided with approval for a study to proceed from the appropriate national body.

5.28 Where RRes is part of a collaboration but Researchers are not leading a project (co-applicant or collaborator), and where relevant, Researchers will obtain a copy of the ethical approval for the project from the submitting (lead) organisation and share with the REC before the study begins.

5.29 Researchers will follow the Trusted Research and Export Control Policy and Guidance available on the RRes Intranet and complete a project Risk Assessment for all projects including international, when undertaking collaborations to identify and manage reputational, financial, legal, and national security risks to their Research.

6 Assurance

6.1 On joining RRes, Researchers will be made aware of this Policy and associated procedures and annually, the RIC will request written confirmation from Researchers that their Research is being conducted in line with this Policy.

7 Training

7.1 RRes commits to fostering a culture of continuous learning and adherence to the highest standards of Research Integrity and Ethics. As such, the organisation ensures that comprehensive training in these areas is provided for all Researchers, staff, and associated personnel. RRes is committed to institutional learning, including from honest mistakes, to support good Research practices. This includes processes to identify poor practice and resolve these in a constructive and timely manner. RRes will encourage staff to identify opportunities for upskilling in new areas, required for achieving academic and professional excellence.

8 Monitoring

8.1 Adherence to this Policy will be audited as part of governance and compliance audits by the Quality Assurance team.

9 Associated Policies and Procedures

9.1 All RRes policies and procedures with associations to this Research Integrity and Research Ethics Policy, or the Investigating Allegations of Misconduct in Scientific Research Policy and Alleged Misconduct Procedure are available on request. All associated policies are reviewed periodically to ensure they are still fit for purpose.

Annex A - Definitions

Term	Definition
AWERB	The RRes Animal Welfare and Ethical Review Body provides governance in relation to Research involving animals (vertebrates and cephalopods) undertaken by RRes, as defined in the Rothamsted Use of Animals in Research Policy.
CEO	Rothamsted Research's Chief Executive Officer.
Concordat	The Concordat to Support Research Integrity.
Confidentiality	The state of private information being kept secret. In the event of an allegation of Research Misconduct, maintaining information and documentation such that the privacy of RRes, and any party involved in an investigation including, but not limited to Researchers, Human Participants, complainants, external organisations is preserved. Confidentiality can be broken if RRes is required to do so by law or as a result of terms and conditions with Funders.
Employers	Described in the Concordat as bodies that conduct or host Research; employ, support or host Researchers; teach Research students; or sponsor and/or support Research.
FAIR Data	Data that is findable, accessible, interoperable, and reusable.
Fairness	Impartial and just treatment or behaviour without favouritism or discrimination. Respondents and complainants are treated fairly at all steps during an investigation into misconduct with amendments being made to the process if required to support individuals needs such as accessibility issues.
Funders	Defined in Concordat as public, third or private sector. Funders may also be Employers, and they may also commission Research, and/or provide block grants or hypothecated funds. The definition includes organisations that provide financial sponsorship for Research and/or Researchers.
GDPR	General Data Protection Regulation or, equivalent regulations relevant to country in which the investigation is taking place.
Human Participants	A Human Participant includes a person either alive or dead, their data, and/or tissue samples including where these were collected and stored from a previous study.
Human Tissue	Any material from a human body that consists of, or includes, human cells – whether or not this material is deemed 'relevant' to the Human Tissue Act 2004 (legislation.gov.uk). This includes blood, urine, faeces, hair and nail samples.
IET	The RRes Institute Executive Team.

Term	Definition
Informed Consent	This is when permission to participate in Research is freely given by the Human Participant. This permission is only given after Human Participants have been presented with all the facts about their role in the Research and what will happen to the results and data. Permission is also only given following the opportunity for Human Participants to raise any questions to RRes and when they are satisfied with the answers they receive.
Investigation Panel	Those nominated to join a panel to investigate an allegation of Research Misconduct.
IT	The RRes IT Services Team.
Line Manager	Person designated as Line Manager for the RRes employee on U4, or person confirmed as responsible for an external Claimant in relation to line management.
Participant	A person who provides or, through activities or assets creates data or information for use in Research.
PI	Principal Investigator, aka Project lead. Responsible for the intellectual leadership and overall management of the project. They are the main contact for the Funder and must be affiliated with the 'lead organisation' as documented on the application.
REC	RRes Research Ethics Committee for RRes, the group that reviews Research proposals from Researchers. Responsible for RE elements of this Policy and all associated practice and process and training. The REC helps to identify ethical issues and provides guidance to RRes accordingly.
RENO	Research Ethics Nominated Officer, a representative nominated by Rothamsted CEO to Chair the REC and to facilitate the management of Research Ethics at RRes.
Research	Defined in the Concordat as 'a process of investigation leading to new insights, effectively shared... It includes work of direct relevance to the needs of commerce, industry, and to the public and voluntary sectors; scholarship; the invention and generation of ideas, images, performances, artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products, and processes, including design and construction'.
Research Ethics	A set of principles, used worldwide, governing how Research involving interaction between Researchers and humans, human tissue and/or animals as well as data relating to humans, is designed, managed, and conducted.
Research Integrity (RI)	As stated by UKRIO, there is no universal classification of Research Integrity so RRes elects to use the definitions as set out in the Concordat:

Term	Definition
	i. Honesty in all aspects of Research, including in the presentation of Research goals, intentions and findings; in reporting on Research methods and procedures; in gathering data; in using and acknowledging the work of other Researchers; and in conveying valid interpretations and making justifiable claims based on Research findings. ii. Rigour, in line with prevailing disciplinary norms and standards, and in performing Research and using appropriate methods; in adhering to an agreed protocol where appropriate; in drawing interpretations and conclusions from the Research; and in communicating the results. iii. Transparency and open communication in declaring potential competing interests; in the reporting of Research data collection methods; in the analysis and interpretation of data; in making Research findings widely available, which includes publishing or otherwise sharing negative or null results to recognise their value as part of the Research process; and in presenting the work to other Researchers and to the public. iv. Care and respect for all Human Participants in Research, and for the subjects, users and beneficiaries of Research, including humans, animals, the environment and cultural objects. Those engaged with Research must also show care and respect for the integrity of the Research record. v. Accountability of Funders, Employers and Researchers to collectively create a research environment in which individuals and organisations are empowered and enabled to own the research process. Those engaged with Research must also ensure that individuals and organisations are held to account when behaviour falls short of the standards set by the Concordat. The UKRIO states that The Singapore Statement on Research (2010) Singapore Statement Overview; Singapore Statement (referenced within Concordat) provides further definitions. Also, definition is included in the UKRIO's own set of principles of Research Integrity in their Code of Practice (UKRIO 2009) Code of Practice for Research (ukrio.org).
Research Misconduct	Defined in the Concordat as 'behaviours or actions that fall short of the standards of Ethics, Research and scholarship required to ensure that the integrity of Research is upheld. It can cause harm to people and the environment, wastes resources, undermines the Research record, and damages the credibility of Research.'
Researcher(s)	According to the Concordat and following the UK Research Integrity Office (UKRIO) Code of practice for research (2009), 'researchers' are defined as any people who conduct Research, including but not limited to: as an employee; as an independent contractor or consultant; as a research student; as a visiting or emeritus member of staff; or as a member of staff on a joint clinical or honorary contract i.e. anyone

Term	Definition
	involved in conducting or planning Research for or on behalf of RRes or its subsidiaries.
Respondent	Person about whom the allegation of Research Misconduct has been made.
Responsible Research and Innovation (RRI)	A term used by the European Union's (EU) Framework Programmes to describe scientific Research and technological development processes that take into account effects and potential impacts on the environment and society. This concept has been more widely adopted and UKRI requires Researchers to consider RRI in funding applications.
RIC	RRes Research Integrity Committee which is responsible for governance of Research Integrity and Research Ethics for RRes.
RINO	Research Integrity Nominated Officer a representative nominated by the Rothamsted CEO to facilitate the investigation of any claims of RI misconduct and to be the point of contact at RRes for all matters related to RI.
Rothamsted Research (RRes)	Rothamsted Research including Rothamsted Research Limited, Charity number 802038 and Company number 02393175 of West Common, Harpenden, Hertfordshire, AL5 2JQ). Rothamsted Scientific Services Limited (Company number 14433339). Can also mean the relevant RRes team members involved in the process.
The Institute	As described in the definition, Rothamsted Research (RRes).
UKRI	UK Research and Innovation (UKRI) is a non-departmental public body sponsored by the Department for Science, Innovation and Technology (DSIT).
Visiting Worker (VW)	Academics, experts, students, visiting students, and staff from other universities, Research establishments, higher education institutions or industry who come for a variety of reasons including to experience our culture, collaborate with our scientists and staff in specific projects or areas of Research, to contribute towards RRes's goals, enterprise, teaching, and/or professional services. RRes's Visiting Worker Policy defines Visiting Worker categories as: Science/Non-Science, Emeritus, Honorary, RRes and Guest PhD students, Project Students, Placement Students, Sandwich Students, Work Experience, externally funded Fellowships or Exchanges, UM6P Visiting Worker (new Cohort).
Vulnerable Participant	A Human Participant who lacks the ability and capacity to provide full consent to participate in Research.

Acknowledgements & References

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- Annual Statement of Integrity | Research and Business Engagement | StaffNet | The University of Manchester
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- Code of Practice for Research (ukrio.org) including their Framework-to-Enhance-Research-Integrity-in-Collaborations.pdf (iua.ie)
- DLA Piper Global Data Protection Laws of the World - World Map (dlapiperdataprotection.com)
- Framework for responsible research and innovation – UKRI
- gida-global.org/care
- Guidance to implement the Concordat to Support Research Integrity within government - GOV.UK (www.gov.uk)
- Human Tissue Act 2004 (legislation.gov.uk)
- ico.org.uk/for-organisations/uk-gdpr-guidance-and-resources/the-research-provisions/exemptions/#applying
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- Research Integrity Policy August 2022 version.pdf (bangor.ac.uk)
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- Research with potentially vulnerable people – UKRI
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