



# Template: annual statement on research integrity

If you have any questions about this template, please contact:  
[RIsecretariat@universitiesuk.ac.uk](mailto:RIsecretariat@universitiesuk.ac.uk).

## Section 1: Key contact information

Question	Response
1A. Name of organisation	University of Sheffield
1B. Type of organisation:  higher education institution/industry/independent research performing organisation/other (please state)	Higher education institution
1C. Date statement approved by governing body (DD/MM/YY)	27/11/23
1D. Web address of organisation's research integrity page (if applicable)	<a href="https://www.sheffield.ac.uk/research-services/ethics-integrity">https://www.sheffield.ac.uk/research-services/ethics-integrity</a>
1E. Named senior member of staff to oversee research integrity	Name: Professor Sue Hartley
	Email address: S.Hartley@sheffield.ac.uk
1F. Named member of staff who will act as a first point of contact for	Name: Lindsay Unwin



anyone wanting more information on matters of research integrity

Email address:  
l.v.unwin@sheffield.ac.uk

## Section 2: Promoting high standards of research integrity and positive research culture.

### Description of actions and activities undertaken

#### 2A. Description of current systems and culture

Please describe how the organisation maintains high standards of research integrity and promotes positive research culture. It should include information on the support provided to researchers to understand standards, values and behaviours, such as training, support and guidance for researchers at different career stages/ disciplines. You may find it helpful to consider the following broad headings:

- Policies and systems
- Communications and engagement
- Culture, development and leadership
- Monitoring and reporting

#### Policies and systems:

- The University operates an institutional level [Code of Ethics](#), which provides an overarching framework within which distinct policies and procedures sit, including research ethics and whistleblowing. The Code of Ethics is under the responsibility of the University Secretary's Office, whose role is to oversee the overall effectiveness of the University's governance and compliance structures and to ensure the integrity of the conduct of the University in pursuit of its strategic goals and ambitions. The Office provides independent advice to the Council, the Senate, the President and Vice-Chancellor and the executive leadership and ensures they gain the advice and assurances required to fulfil their statutory and regulatory responsibilities. Other areas of the Office's responsibilities include work in the area of policy, legal advice, risk management, data protection and freedom of information.
- A University Staff Code of Conduct supports the University vision through alignment with One University. One University is one of four 'pillars' of the vision, and aims to foster a positive environment where all staff and students



can reach their full potential, be active participants in the success of the University, and feel they belong and are treated with respect. This works alongside the Code of Ethics and Student Code of Conduct. It emphasises the importance of a shared responsibility towards building a supportive and inclusive community, in which all staff are treated with respect, and collaboration is key to achieving the University's goals and ambitions.

- The University has developed a definition of research excellence, encompassing the excellence of the research output and its impact, as well as the excellence of the research process with specific reference to integrity and leadership.
- The University's Good Research & Innovation Practices ([GRIP](#)) policy sets out the principles governing all research and innovation activities at the University as well as expectations concerning good practices in specific research and/or innovation activities (e.g. authorship; collaboration).
- The University's policy on [Preventing Harm in Research & Innovation \(Safeguarding\)](#) sets out the University's commitment to the prevention of harm to all individuals involved with or affected by the University's research & innovation activities. It encompasses procedures for enabling safeguarding concerns or incidents to be reported and handled appropriately.
- The University's Ethics Policy Governing Research Involving Human Participants, Personal Data and Human Tissue ([Ethics Policy](#)) sets out principles for ethical research and procedures for obtaining ethical approval. This includes details of the University's Ethics Review Procedure, a devolved procedure in which each academic department is responsible for administering its own ethics review procedure within the framework set by the Ethics Policy, and supported by the Senate University Research Ethics Committee (UREC). The model is based upon several principles including that disciplines know their own fields (and the relevant ethical considerations) the best and that self-regulation results in greater engagement than top-down regulation.
- An online ethics application system has been in place since 2013, and is used across the University for managing the Ethics Review Procedure. Any staff member or student wishing to submit a University ethics application is required to complete three compulsory online information security training courses before they can access the application form.
- UREC, supported by Research, Partnerships & Innovation and reporting directly to the Senate, is responsible for overseeing the University's research ethics arrangements and includes representatives from all five Faculties, Professional Services, and the Student's Union, as well as 4 lay/external members.
- Any breaches of the Ethics Policy are treated very seriously and are investigated carefully in order for the situation to be addressed appropriately, including



taking actions to prevent similar issues arising in future (e.g. by addressing training needs).

- The University has a policy and process for managing security sensitive research, as part of the University's Prevent duty. The policy aims to ensure the welfare of staff and, in particular, students at any level who undertake security sensitive research; and to protect staff and students undertaking legitimate research from misinterpretation by the authorities so that research may proceed unhindered.
- A Research Governance Procedure for health and social care research is in place to ensure that a research governance sponsor is appointed in line with the UK policy framework for health and social care research. Where the University is appointed as the research governance sponsor, additional checks are undertaken to ensure that the appropriate governance approvals are obtained prior to the commencement of the project, and monitoring and reporting responsibilities throughout the life of the project are clearly delegated to the Principal Investigator and Head of Department. An online tool is available to help researchers establish when the Research Governance Procedure is required for a project.
- A risk-based quality assurance process is in place for human-interventional studies sponsored by the University; whilst the University will not sponsor clinical trials of Investigational Medicinal Products or medical devices, it has defined a number of other types of human interventional studies that present potentially higher risk to participants. These trials must be risk-assessed, and according to the results, an appropriate quality assurance procedure is invoked (e.g. for high risk trials this will involve detailed discussions with the Principal Investigator about the trial management arrangements).
- The University has a policy relating to clinical trials transparency (as part of the Good Research & Innovation Practices policy) which requires all human-interventional studies to be registered on a public clinical trials register, and all findings to be reported in a timely fashion following the end of the study.
- A Research Governance Sub-Committee (RGSC), reporting to the Senate Research & Innovation Committee and supported by Research, Partnerships & Innovation, oversees the University's governance arrangements for research that involves health and social care.
- The University has in place an Ethics Policy on the Use of Animals (updated in June 2019) plus a supporting [web page](#) setting out its commitment to ensuring that all staff and researchers comply with the relevant national legislative requirements and meet or exceed legal standards for animal husbandry, care and use of animals. Through the Animal Welfare and Ethical Review Board (AWERB) the University has well established structures of ethical review and



monitoring in place. In April 2015 the University signed up to the Concordat on Openness in Animal Research (<https://www.understandinganimalresearch.org.uk/regulation/concordat-openness-animal-research>).

- Provision of support for Research Data Management is jointly provided by the University Library, IT Services, and Research, Partnerships & Innovation, overseen by the Open Research Advisory Group. The University Library and IT Services provide Online Research Data at Sheffield (ORDA), an on-line repository for research data, especially that which supports published research. Researchers are directly asked to confirm that they have the relevant ethical approval to share the research data they are depositing and the options for sharing data with a limited audience have recently been expanded.
- The University signed the San Francisco Declaration on Research Assessment (DORA) in November 2018 and has set out through the definition of research excellence how research should be assessed.
- The University Library is engaged on multiple levels in supporting the University's research environment and works in close partnership with Professional Services colleagues to secure effective service delivery. It provides infrastructure and tools to support excellent research management and to enable research outputs to be widely discoverable, accessible to all and preserved for the longer term. This includes stewardship of the institutional open access repositories for publications and data: White Rose Research Online (WRRO), White Rose ETheses Online (WREO), Online Research Data (ORDA) and a preservation system.
- The University Library is an institutional subscriber to DMPOnline, an online tool developed by the Digital Curation Centre to facilitate the creation and editing of data management plans by researchers. The Library has developed regularly updated, extensive guidance that resides within the DMPOnline tool and is instantly accessible to researchers when answering relevant questions for their funders' requirements, and postgraduate research students for whom data management plans are compulsory. The Library also provides a review service through DMPOnline, providing personalised support to help researchers improve their data management.
- IT Services supplies the technical infrastructure that supports researchers' activities. It also provides guidance, training and advice on the use of that infrastructure including delivery of training via the Doctoral Development Programme as well as collaborative work on particular projects and with various research groups. The Service undertakes training and guidance relating to Information Security and compliance issues, and provides support for University research activity through the Research IT Service, led by the Assistant Director (Research IT). A Research Storage service provides secure and accessible



storage for research groups with 10 Terabytes available for each group free of charge at the point of use. A service is also available for research that uses sensitive data or has high compliance needs. The University has a ISO27001 certified suite of research IT services for sensitive data that helps ensure the security of research activities. Governance of IT Services research support and its alignment with University objectives in this area is via a number of routes including:

- Representation on Senate Research and Innovation Committee and the Capital Research Assets Group;
  - Strategic and Operational Liaison with Faculties and other Professional Services departments;
  - The Vice-Presidents for Research and for Innovation sponsor the IT Services Research Strategy and Product catalogue and roadmap, and IT Services have representation on the VP Research Strategy Group which has cross faculty representation including Professional Services;
  - Specific liaison with the Research Computing community via the Research Computing Advisory Group.
  - Specific workstreams to manage work relating to research information systems and research administration systems in conjunction with the University Library and Research, Partnerships & Innovation respectively.
  - The University Executive Board (UEB) has established a group, the UEB IT Sub Group (UEB ITSG), to oversee the work of IT Services. It is chaired by the Deputy Vice Chancellor and its membership includes the Vice-President for Research.
  - The University's Chief Information Security Officer provides regular briefings to key stakeholder groups (e.g. the Vice-President's Research Strategy Group) on specific security challenges relating to research activities and the measures being put in place to address those challenges.
- IT Services recognises the increased information security challenges and cyber security threats that are specific to research activities and as such have put in place additional controls to protect the University's research activities.
  - It is a requirement that all research staff and students undertake mandatory information and cyber security training.
  - It is a requirement that all research staff and students must protect their University accounts using multi-factor authentication.
  - Tailored support and additional controls are available for high value research activities that require additional security assurance.



Communications and engagement:

- Thorough induction arrangements are in place for individuals who are to join the University and for new staff, to support them in their role and ensure they are aware of expectations relating to research integrity. This includes an induction checklist signposting key policies that they should familiarise themselves with. These policies are also signposted on the induction portal and include the University's Public Interest Disclosure (Whistleblowing) policy, Investigating and Responding to Allegations of Research Misconduct Policy, Good Research & Innovation Practices Policy (GRIP), and Preventing Harm in Research & Innovation (Safeguarding) Policy.
- The University's central research ethics & integrity webpages, provide details of who is responsible for research integrity within the University and who can be contacted with queries or concerns. In addition, a tool is available to help staff, students or external individuals identify the routes available to them for raising a concern.
- The UREC communicates updates and developments relating to research ethics to a network of Principal Ethics Contacts based in departments, and Faculty representatives on the UREC are encouraged and supported to facilitate discussions and network building within their Faculties (e.g. by holding regular Faculty-level meetings for Principal Ethics Contacts and administrators involved in supporting the ethics review procedure).
- UREC runs an annual funding programme which invites applications from staff or PGR students who wish to run small projects designed to promote research ethics. Funding of up to £1000 is offered to a number of projects which may involve workshops and seminars, or development of guidance and other resources. Five staff-led and two PGR student-led projects have been funded during 2022/23.

Culture, development and leadership:

- The University established a new University-level leadership role in 2020, 'Research Practice Lead'. This role focuses on continual research improvement and robustness of research findings, by supporting academic-led initiatives, including [research on research](#) ("meta-science") which can inform research quality. The role was created as part of the University's commitment to the [UK Reproducibility Network](#), and (September 2021) won a major investment from the [Research England Development Fund](#) to develop, deliver and evaluate training on open research methods. This project will run 2021-2026 and link up with existing work at Sheffield on researcher development, research culture and open research support.



- A Research Culture Steering Board was created during 2021/22 comprising representatives from across the research community to prioritise actions from a number of research culture activities. The University of Sheffield is also a partner in the *N8 Research Partnership* and *The UK Reproducibility Network (UKRN)*, both groups that collaborate on the research culture agendas and share resources and ideas.
- Since 2021/22, the University has invited ideas from researchers at all levels for projects to develop and share practice around enhancing research culture. More than 30 projects have been funded annually from a range of external funding; these have encompassed promoting and supporting open research practices; exploring issues around equality, diversity and inclusion (EDI) and supporting researchers and associated careers at a range of stages. Each year the projects are brought together at a Showcase event in September to encourage discussions on next steps and develop institutional learning.
- Mandatory training for all postgraduate research students on research ethics and integrity, delivered at Faculty level, has been in place since 2011. This was reviewed and updated in 2020/21. The desired outcomes are two-fold: a. to encourage PGRs to critically analyse/reflect upon their own actions and behaviours and their interactions with others involved in their research and b. to heighten PGRs' ethical sensitivity and reasoning.
- The University has purchased an online research integrity course aimed at postgraduate research students and post-doctoral researchers, which includes an in-built test that enables leaders of the Faculty-run training for postgraduate research students to assess students' learning from undertaking the online course itself as well as other learning activities that take place as part of the training. The University has also purchased an on-line research integrity self-assessment exercise aimed at more established academics. The course and self-assessment exercise are promoted to staff and PGR students across the University in a variety of ways, including via new staff induction packs, and the University's central ethics and integrity webpages.
- The University Research Ethics Committee (UREC) provides regular training sessions for those who undertake the review of ethics applications. Other information sessions are held on request for individual academic departments and support teams to address particular training needs.
- The UREC provides online resources to aid departments in their training and awareness raising activities relating to research ethics. These include recordings of introductory presentations for ethics reviewers, a series of short videos for students to aid them in undertaking the ethics review procedure, and exemplar ethics applications.





- Work is on-going across the University to ensure that the requirements of the GDPR and Data Protection Act 2018 are met, including provision of training to staff/students at all levels in departments. The role of the UEB Information Management and Security Group includes ensuring appropriate arrangements in place around information security, legal and regulatory compliance, and data assurance and external reporting.
- Other centrally-run workshops for staff and/or PGR students are held on a needs basis, addressing relevant topical research integrity issues including Information Security, Research Data Management, Licensing and Copyright.
- PGR students are supported through a wide variety of sessions provided through the Doctoral Development Programme, and events organised by Centres for Doctoral Training and Doctoral Training Partnerships, with supporting digital materials. The University Library engages in awareness raising activities and skills development pertaining to excellent research management for researchers throughout the spectrum.
- Comprehensive information and guidance on the [management of research data](#) is provided by the University Library, along with a range of other [research support services](#).
- A list of the services IT Services provides relating to support for researchers is available for staff and students on internal web pages. There is also guidance on the IT Services activities relating to Information Security. The University's Information Management and Security Group has published [policy and guidance](#) on a range of information management issues.
- The University Library is active in the sector nationally and internationally, working closely with peer research libraries, vendors and publishers to ensure the University is well positioned to take advantage of developments in the scholarly communications field. The University Library coordinates the governance of these activities through the University-wide Open Research Advisory Group, chaired by the Deputy Vice-President for Research. The University Library provides a range of advisory and guidance services for staff and students, utilising the skills and experience of specialist staff covering specialist systems, scholarly communications, publishing, licensing and copyright.
- Environmental scanning and advocacy around the changing landscape is an ongoing role for the Library to ensure the University is able to meet current and future needs pertaining to open research and the sharing of our research outputs. Locally best practice is shared with and between the research community via the regular Open Research Conversation events and the Open Research Prize.



- Alongside open research, the University has also committed to the FAIR principles; making data and software findable, accessible, interoperable and re-usable. The Library is leading a programme of activity to support this, working alongside the Research Software Engineering team, IT Services and Research, Partnerships & Innovation.

Monitoring and reporting:

- Data relating to the ethics applications reviewed by each department is gathered annually for consideration by the UREC. In addition, each department is required to submit a short update report on an annual basis, to provide details on how they have implemented the ethics review procedure in the past year, to share good practices, and to highlight concerns or support needs.
- The UREC visits each academic department every five years; this visit includes an audit of ethics documentation relating to reviews conducted in the department and a discussion regarding the ways in which the department raises awareness of the Research Ethics Policy.
- UREC annually audits the ethics arrangements for one or more ESRC-funded projects which have received University ethics approval. The process involves a detailed check of the ethics documentation and a meeting between the researcher(s) and a sub-group of UREC, to ensure that the research is proceeding in line with the terms of the ethics approval and the University's Ethics Policy. Audit reports are then provided to UREC for consideration.
- UREC annually considers a summary report on ethics breach investigations completed in the previous year, in order that any trends or other issues can be identified and appropriate action taken.
- A monitoring and audit process is in place to ensure that the University's policy relating to clinical trials transparency is followed for University-sponsored studies.

**2B. Changes and developments during the period under review**

Please provide an update on any changes made during the period, such as new initiatives, training, developments, also ongoing changes that are still underway. Drawing on Commitment 3 of the Concordat, please note any new or revised policies, practices and procedures to support researchers; training on research



ethics and research integrity; training and mentoring opportunities to support the development of researchers' skills throughout their careers.

- The Ethics Policy Governing Research Involving Human Participants, Personal Data and Human Tissue policy underwent a detailed review during 2021/22 and the revised version was approved by Senate in October 2022. A communications campaign was undertaken to launch the new policy across the University in December 2022. This encompassed the development of a short video in which the Chair of UREC introduces the policy and its importance, as well as enhanced and updated web pages and announcements via email and staff/student newsletters.
- The UREC has worked with the University's Internal Communications team to put in place an annual communications campaign to remind staff and students of the research ethics policy and procedure. In 2023 this took place in June but in future years will take place at the start of Semester 2 to coincide with taught students commencing preparations for their dissertations. Information will be provided via email bulletins and on staff and student 'hub' pages, and updates will be given at Head of Department briefing sessions. It is envisaged that this will have greater impact than the former annual email sent to staff and PGR students.
- UREC has worked with the University's IT Services and Data Protection team to design a revised version of the section of the ethics application form relating to personal data. This was launched across the University in June 2023 following a pilot phase. The new design aims to better support researchers in providing the required information to meet data protection and security expectations, and includes new notifications highlighting when aspects of their project may require additional action (e.g. a review of third party services by the Information Security team).
- A number of other enhancements to the University's Ethics Application System have been made during 2022/23, including new functionality to aid supervisors in monitoring the progress of their own student's ethics applications, and a new flow diagram to enable staff or students to see 'at a glance' what stage of the ethics review procedure their application is at. Further enhancements are planned for early 2023/24, including an updated question in the ethics application that aims to ensure that projects have received an appropriate scientific or academic review prior to submission of the ethics application.
- Two new online training courses relating to research ethics have been under development during 2022/23. The first has been developed on behalf of the UREC, and provides a general introduction to research ethics and overview of the process for obtaining ethics approval, for staff and PGR students. This is now available on the University's Learning Management System and has been



announced across the University. The second, developed by a team involving PGR students in the University's '301 Academic Skills Centre', provides guidance on preparing an ethics application for students, and is due to be made available early in the 2023/24 academic year.

- The UREC has undertaken work during 2023 to develop enhanced guidance for departments on the process for investigating a potential breach of the Research Ethics Policy, which aims to ensure that departments provide appropriate support to staff or students under investigation. The need for this was identified during the annual review of ethics breach investigations by UREC. Guidance specifically for those under investigation, to help to 'de-mystify' the process and ease the anxiety that may be experienced, are in the process of development and are due to be implemented in early 2023/24. There is also further work in progress to develop a process for appealing the decision taken in an ethics breach investigation.
- During the 2022-23 academic year the University launched myDevelopment, a new Learning Management System. This is a central hub for all learning and development opportunities for staff and PGR students, with learning pathways curated for them that will support them in the development of their role and career at the University, and enable them to manage their own development. MyDevelopment features learning opportunities aimed at researchers to help them develop their skills and learn more about research practices at the University - for example, ethical review workshops, and an Introduction to Research Supervision event.
- New guidance for departments has been developed during 2022/23 in relation to the monitoring and reporting responsibilities for University-sponsored health and social care studies. This includes a recommendation that departments appoint a 'Research Governance Lead' to oversee monitoring of studies on behalf of the Head of Department.
- As part of the implementation of the University's definition of research excellence, we have piloted an information system providing a broader dataset and the opportunity for researchers to provide contextual narrative to appraisal and promotion university processes, in line with DORA and Concordat commitments. The University's Academic Career Pathways framework has also been updated to incorporate the definition, and we plan to embed this in recruitment processes in 2023/24.
- In 2022/23, the Research Culture Steering Board reviewed findings from focus groups with a range of researchers and research supporters and from a survey of PGR students, allocated monies from Research England's Enhancing Research Culture fund and endorsed the findings of a group examining career support for established (aka mid-career) researchers.



- The internal Induction web pages for new staff have been updated to include practical information and support, e.g. Academic Career Pathways. A new section is being developed specifically for Research staff which will signpost them to a range of information including policies and guidance relating to research ethics and integrity.
- In September 2022, the Research Practice Lead and the University Library's Scholarly Communications team organised the inaugural OpenFest event with over 100 colleagues from across the University presenting and discussing best practice in open research. The event ran again in September 2023, this time in collaboration with colleagues at Sheffield Hallam University, to bring a wider range of perspectives into discussions.
- The University's Open Research Prize ran for the second time this year, with new categories to recognise team contributions to open research. Additionally the Library has run a series of themed outreach events during Open Access week and 'Love Data' week to highlight new developments and the support services available in these areas.
- The Library led a project with Research England funding to develop discipline-specific guidance with seven pilot departments on making their data and software FAIR. This work supports researchers to meet the FAIR principles and has been expanded to include a resource with discipline-specific guidance and a pilot data stewardship service.
- There has been a collaboration between the University Library, Research, Partnerships and Innovation and IT Services to create an Open Research Training Portal which brings together all of the Open Research training opportunities from different parts of the University in one place.

## **2C. Reflections on progress and plans for future developments**

This should include a reflection on the previous year's activity including a review of progress and impact of initiatives if known relating to activities referenced in the previous year's statement. Note any issues that have hindered progress, e.g. resourcing or other issues.

- The Senate Academic Assurance Committee reviewed the University's arrangements for upholding research integrity in June 2023 and was assured that the University meets the requirements of the Concordat or is working towards doing so and that the University is committed to developing a culture



which supports and nurtures research integrity. The committee's recommendations have informed our plans for 2023/24.

- A new Research Integrity Steering Board, reporting to the Senate Research & Innovation Committee, by the end of calendar 2023, the remit of which will include assessing how well our policies are followed in practice, identifying and sharing best practice, identifying broader learning from misconduct cases and advising on training.
- Tailored training on trusted research and associated policies, which will be made compulsory, will be developed in 2023/24 to provide researchers with familiarity with the University's policies, responsibilities of researchers and how concerns can be raised.
- A review of the University's Good Research & Innovation Practices (GRIP) policy will take place in 2023/24, aiming to make the policy more accessible and include recent developments in practice. This will include consideration of how extensively visiting researchers should be expected to comply with university policies.
- A review of the University's Research Misconduct procedure will be undertaken in 2023/24, examining how investigations can be undertaken more promptly. We have also noted the low number of research misconduct investigations undertaken in the 2022/23 year (lower than in previous years). The new Research Integrity Steering Group will be reviewing our processes for reporting of research integrity concerns, to examine if there are any barriers that should be overcome and to consider how we ensure a culture where colleagues (and others) can report concerns and be supported through the process of doing so (e.g. via a network of research integrity champions).
- Training for Research Governance Leads and others involved in supporting the process of monitoring University-sponsored health and social care studies is planned for early in the 2023/24 academic year, following the launch of new guidance in Summer 2023.
- The UREC has undertaken a consultation with departmental Principal Ethics Contacts to understand more about the challenges staff and students face in meeting the requirements of the Research Ethics Policy, and what additional guidance/resources would be most beneficial. The outcome of this will be considered in early 2023/24 with a view to agreeing where to focus development work over the course of the year.
- Demand for training for those who review ethics applications in departments has been increasing over recent years. An enhanced programme of workshops are due to take place during the 2023/24 academic year to help meet this



demand. It is also hoped that the new online training course highlighted in section 2B will help to address this issue.

- Increasing consideration is being given to equality, diversity and inclusion in the running of meetings and the provision of guidance and information relating to research ethics and integrity. New guidance and resources will be developed and made available in line with best practice regarding accessibility, and work will be undertaken to update existing resources as soon as possible.
- The Library is going to pilot a data stewardship service where individual projects or entire departments can receive in-depth support to improve the management of their data and make it FAIR.
- The University will also re-run its 'Unleash your Data and Software' prize in the coming year, a competition where researchers can apply for up to £5k to improve the FAIR-ness of their data or software, in support of open research.
- Following the launch of the Staff Code of Conduct in October 2022 work is ongoing to help departments engage staff in discussions around culture (including research culture, where relevant). Going forward, this will include a review of the Dignity at Work toolkit and continued development of our internal policies, including bullying and harassment, grievance and sexual misconduct. This work is aligned with the increasing expectation across the sector from funding and regulatory bodies to address unacceptable behaviours within research cultures, and more widely, amongst the student population. Other work includes further awareness raising of the Report & Support service.



## Section 3: Addressing research misconduct

3A. Statement on processes that the organisation has in place for dealing with allegations of misconduct

Please provide:

- a brief summary of relevant organisation policies/ processes (e.g. research misconduct procedure, whistle-blowing policy, bullying/harassment policy; appointment of a third party to act as confidential liaison for persons wishing to raise concerns) and brief information on the periodic review of research misconduct processes (e.g. date of last review; any major changes during the period under review; date when processes will next be reviewed).
  - information on how the organisation creates and embeds a research environment in which all staff, researchers and students feel comfortable to report instances of misconduct (e.g. code of practice for research, whistle-blowing, research misconduct procedure, informal liaison process, website signposting for reporting systems, training, mentoring, reflection and evaluation of policies, practices and procedures).
  - anonymised key lessons learned from any investigations into allegations of misconduct which either identified opportunities for improvements in the organisation's investigation procedure and/or related policies / processes/ culture or which showed that they were working well.
- 
- The University's Good Research & Innovation Practices policy sets out the principles governing all research and innovation activities at the University as well as expectations concerning good practices in specific research and/or innovation activities (e.g. authorship; collaboration). The policy also includes information about what constitutes unacceptable research and innovation practices.
  - The University has an 'Investigating and Responding to Allegations of Research Misconduct Policy and Procedure' which applies to allegations of research misconduct against staff members.
  - Both the Public Interest Disclosure (Whistleblowing) Policy and the Investigating and Responding to Allegations of Research Misconduct Policy advise those who report suspicions of potential research misconduct in line with the relevant policy, that they will not be penalised or suffer detriment by the University and that all associated complaints of victimisation of an individual will be treated seriously and may provide grounds for disciplinary or other appropriate action.





- The University's Staff Code of Conduct emphasises the importance of a shared responsibility towards building a supportive and inclusive community, in which all staff are treated with respect, and includes an expectation that staff report activities which are in breach of University regulations and challenge inappropriate behaviour.
- The University's central ethics and integrity web pages provide details of a first point of contact for receiving enquiries on matters concerning good research, along with an online tool to help staff or students identify the routes available to them for raising a concern.
- An annual review of the University's arrangements for meeting the requirements of the Concordat is undertaken by the University's Senate Research and Innovation Committee, supported by Research, Partnerships & Innovation, as part of the preparation of this annual Statement for the University's Council.

**3B. Information on investigations of research misconduct that have been undertaken**

Please complete the table on the number of **formal investigations completed during the period under review** (including investigations which completed during this period but started in a previous academic year). Information from ongoing investigations should not be submitted.

An organisation's procedure may include an initial, preliminary, or screening stage to determine whether a formal investigation needs to be completed. These allegations should be included in the first column but only those that proceeded past this stage, to formal investigations, should be included in the second column.

Type of allegation	Number of allegations			
	Number of allegations reported to the organisation	Number of formal investigations	Number upheld in part after formal investigation	Number upheld in full after formal investigation
Fabrication				
Falsification				
Plagiarism	1			
Failure to meet legal, ethical and professional obligations				
Misrepresentation (eg data; involvement; interests; qualification; and/or publication history)				
Improper dealing with allegations of misconduct				
Multiple areas of concern (when received in a single allegation)	1			
<i>Other*</i>				
<b>Total:</b>	<b>2</b>	<b>0</b>	<b>0</b>	<b>0</b>

**\*If you listed any allegations under the 'Other' category, please give a brief, high-level summary of their type here. Do not give any identifying or confidential information when responding.**