

University of Leeds: Annual statement on research integrity

If you have any questions about this template, please contact:
RIsecretariat@universitiesuk.ac.uk.

Section 1: Key contact information

Question	Response
1A. Name of organisation	University of Leeds
1B. Type of organisation: higher education institution/industry/independent research performing organisation/other (please state)	Higher education institution
1C. Date statement approved (DD/MM/YY)	The Senate (6 March 2024)
1D. Web address of organisation's research integrity page (if applicable)	https://ris.leeds.ac.uk/research-integrity
1E. Named senior member of staff to oversee research integrity	Name: Professor Nick Plant (Deputy Vice-Chancellor: Research and Innovation)
	Email address: n.plant@leeds.ac.uk
1F. Named member of staff who will act as a first point of contact for anyone wanting more information on matters of research integrity	Name: Catherine Cho (Head of Governance Support)
	Email address: c.l.l.cho@adm.leeds.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*

We aim to conduct research at Leeds according to the [University values](#) of collaboration, compassion, inclusivity and integrity. The University takes responsibility for ensuring that our researchers have rigorously considered ethical implications and conduct their research to the highest standards of integrity.

Policies and Systems: The University of Leeds has a comprehensive range of policies and systems, listed below, that govern research integrity and ensure our commitment to the core values set out within the Concordat.

Key policies that govern research integrity:

- [Policy Statement on Professional Integrity in Research](#)
- [Research Ethics Policy](#)
- [Equity, Diversity and Inclusion Framework \(2023-2025\)](#)
- [Dignity and Mutual Respect Policy](#)
- [Protocol for Investigating and Resolving Allegations of Misconduct in Academic Research](#) (This policy is under review).
- Procedures for Investigating Plagiarism in University Assessments by Postgraduate Researchers. From 2023/24, this has been replaced by the [Postgraduate Researcher Academic Misconduct Procedure](#).
- [Cheating, Plagiarism, Fraudulent or Fabricated Coursework and Malpractice in University Examinations and Assessment Procedure](#). From 2023/24, this has been replaced by the [Academic Misconduct Procedure](#).
- [Code of Conduct on Professional Behaviour and Relationships](#)
- [Code of Practice on Whistleblowing](#) (This policy is currently under review).

Data Protection policies:

- [Research Data Management Policy](#)

- [Policy on Safeguarding Children, Young People and Vulnerable Adults](#)
- [Policy for the Storage and Use of Human Tissue](#)
- [Anti-Bribery policy](#)
- [Export Controls policy](#)
- A summary diagram of the University committee structure is available [here](#).
- The key leadership groups for research integrity are: Council, Ethics and Values Committee, Audit and Risk Committee Research and Innovation Board, University Research Ethics Committee, Animal Welfare and Ethical Review Board, and Export Control Steering Group.
- The University Research Ethics Committee (UREC) has delegated responsibility for review of individual ethics applications to Faculty Research Ethics Committees (FRECs) and, within the Faculty of Medicine and Health, to School Research Ethics Committees.
- The Research Culture Governance Groups are listed [here](#):

Communications and Engagement

- The [University Strategy \(2020-2030\)](#) sets out a blueprint for a values-driven university that harnesses expertise in research and education to help shape a better future for humanity, working through collaboration to tackle inequalities, benefit society and drive change. An introduction to the [values and responsibilities at the University](#) is part of the induction checklist for all new staff.
- For PGRs, there is a [Doctoral College Handbook](#) hosted on the website (also known as the PGR Handbook), which provides detailed information and guidance on all aspects of research degrees, including research ethics, data management and academic integrity. All PGRs are expected to have research integrity discussions with their supervisory team within the first 3 months of study and provision built into individual training plans, with all new PGRs expected to complete the PGR Academic Integrity Tutorial and Test and the online Research Integrity Training within the first six months of study. Progress against the training plan is monitored and reviewed regularly, including within the formal transfer examination. From 2023/24, an induction checklist has been included in the Handbook, which includes links to further information on [Research Practice](#), the mandatory [Research Integrity and Research Ethics Online Training](#) and the [UUK Concordat to Support Research Integrity](#).
- The University runs a regular series of [Research Culture Cafés](#) and has launched a [Research Culture Uncovered podcast series](#) as part of our ongoing work to promote a positive and inclusive research environment at Leeds. Our Culture Cafés are run as small group, facilitated discussions with a facilitator to share the challenges, examples of best practice and ideas openly with our Research Culture Community. We have so far run 4 cafés on the topic of Research Integrity. The fortnightly podcast series is themed into seasons, each

focussing on a different area of research culture. Since the launch in November 2022, it has received a great response with good levels of engagement and over 5,600 downloads across 72 countries. Research Integrity has been included in season 3 (Open Research), and upcoming seasons 4 (Research Impact) and 6 (Research Culture and Concordats).

- Dedicated and externally accessible [Research Integrity](#) and [Research Ethics](#) webpages are maintained by our Research and Innovation Service (RIS) and Secretariat respectively, which signpost relevant policies and provide further guidance, including the University's [Policy Statement on Professional Integrity in Research](#) and the [Research Ethics Policy](#).
- RIS also has a Trusted Research Environment Team who maintain a dedicated [Trusted Research](#) webpage where guidance on safeguarding international collaborations, export controls and the National Security and Investment Act is available.
- Active networks of researchers engaged in promoting open research through initiatives such as [ReproducibiliTea journal club](#) and [Open Lunches webinar series](#). We have also invested Research England funding into developing a [case study resource](#) to explore and promote open practice across different disciplines.
- The main goal of [ReproducibiliTea journal club](#) is to promote, facilitate and deepen the conversation about open research across all fields of study represented at Leeds, from Medieval History to Data Science. The Leeds ReproducibiliTea journal club is open to people at all career stages, including support staff, professional and managerial staff. The journal club is early-career research led and with an interdisciplinary focus, with organisers of the club ranging from medical sciences to linguistics. To date, over 30 Leeds ReproducibiliTea sessions have been conducted, several of which have featured external speakers from a range of open research initiatives such as the [Framework for Open and Reproducible Research Training \(FORRT\)](#) and [The Turing Way](#).
- Research integrity is a key theme embedded within our [Researcher Development Concordat Implementation Plan](#) with 5 actions against the Environment and Culture principle, and 2 against the Professional and Career Development principle. It is also a core element in the [UKCGE Good Supervisory Practice Framework](#) used in our supervisor development programmes.
- Changes to funder terms and conditions, including those relating to ethical, legal and research integrity issues are communicated by the Research Operations team to the network of Faculty Research and Innovation Offices, to inform relevant colleagues. Where appropriate, changed terms and conditions are reviewed by the Contracts team in RIS to ensure compliance.
- The University of Leeds has multiple teams that deliver diverse external engagement and widening participation programmes, activities, and events. It

is a signatory to the [NCCPE's Manifesto for Public Engagement](#). [Be Curious](#) activities are an example of this engagement, which stand for lifelong learning, inclusivity, and the connection between the public and research. These activities are underpinned by a shared ethical engagement practice as part of our social responsibility to increase trust in research, being accountable to the public as research funders, and making research understandable and relatable to a wide audience.

Culture, Development and Leadership

- At the University of Leeds, we believe all members of our research community have a role to play in developing and promoting a positive and inclusive research culture. In 2023, we published our [Research Culture Strategy](#) and action plan with four strategic objectives:
 - We will value diverse forms of research activity
 - We will embed EDI principles in research practices
 - We will enable Open Research practices
 - We will mutually support and develop research teams
- Under each of these objectives sit a number of distinct projects. The Research Culture Steering Group provides oversight for the strategy. Progress and direction of the action plan comes from the Research Culture Working Group. Details of the resulting strategy and implementation plan are outlined in section 2D as a case study.

Training and Development Opportunities

- Updated and revamped e-learning modules for research integrity, research ethics, academic integrity and safeguarding in research are open to all staff and students (via the University Virtual Learning Environment: Minerva).
- There is a dedicated [Researcher Development and Culture Team](#) committed to developing the skills and confidence that enable researchers to thrive, with a wide range of opportunities for professional and personal development.
- The [Library](#) offers enquiry support and training including workshops on open research practices, data management planning, responsible research metrics and safeguarding research data.
- Our [Research Computing](#) team and [IT Training Unit](#) run a variety of specialist training in topics including bioinformatics, version control with GitHub, R programming, Python and reproducible scientific code development.
- The University of Leeds is a signatory to the [Concordat to Support the Career Development of Researchers](#) and hosts an annual Concordat Awareness Month: A chance for all staff to find out more about the support and opportunities available to researchers, (prospective) research managers, and the wider academic community.

- A University-Wide Mentoring Scheme is available to all staff at Leeds.

Additional Information

- The Employee Engagement Survey (last run in February 2023) is a key mechanism to gather feedback on the institution's research culture and a number of institutional-level actions have been integrated into the University's Research Culture strategy, including career development opportunities, responsible research assessment, reward and recognition and workload. The survey is due to be repeated in Spring 2025.
- The Research Culture Pulse Surveys play a vital part of the work to create a positive and inclusive research culture and help us better understand how our current culture is experienced, the confidence the research community has in the University to improve the culture, and to help identify the areas most in need of improvement. The surveys cover six themes, each aligned to our Research Culture priorities: valuing and recognising diverse forms of research activity; embedding EDI principles in research practices; enabling open research practices; mutually supporting and developing research teams; research integrity and concordats; commitments and engagement. The surveys are designed to be short and easy to complete, taking no more than 5 minutes. Each survey is repeated twice over the year to help evaluate and monitor progress.
- The Knowledge Equity Network is a major global initiative. The inaugural summit took place at the University of Leeds in November 2022 to determine the focus of the Declaration on Knowledge Equity. The Network launched in late April 2023 and to date there are 254 individuals, 33 organisations and 20 Higher Education Institutions that have signed and committed to the Declaration, from 59 countries. The goal of the Network is to tackle global challenges through opening access to ground-breaking research and research-led, challenge-focused education. It is a collaborative community of engaged leaders, policymakers, HEIs, funders and experts which continues to grow and work towards the common goal of driving down inequalities through the sharing of knowledge.

Monitoring and Reporting

- Research misconduct allegations are treated seriously and handled directly via the University Secretary and Registrar (as described in section 3). The Senate and Council (where the respondent is a member of staff) are informed of the outcome of any formal investigation, and information is published in the University's Integrated Annual Report as part of the section on 'Maintaining Standards'.
- Each FREC submits an annual report to UREC, which includes an overview of the number of research ethics applications received. During the 2022-23

academic year, the FRECs received a total of 900 new research ethics applications, of which 165 were considered via the proportionate model for lower risk projects. (In 2021/22, there were 1017 new research ethics applications, including 220 proportionate reviews).

- Faculties report on research culture challenges and develop action plans as part of the annual Integrated Planning Exercise. This work remains ongoing.
- Development needs for staff are identified via the annual Staff Review and Development Scheme (SRDS), which aims to support and develop staff to achieve both career development objectives and performance improvements which are consistent with current and future institutional objectives and service developments. SRDS is used to generate tailored training plans for all colleagues.
- The University maintains a database of completion of mandatory training in Health and Safety, Data Protection, Professional Behaviour and Relationships and Equality and Inclusion.
- For PGRs, engagement with research ethics and data management are reviewed as part of the progress review milestones, including the first formal progress report (at 6 months), the transfer stage (12 months) and annual progress reviews (annually thereafter). Confirmation of ethical review is required as part of the examination process and a data management plan is required by transfer stage.

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.

Summary of changes made during the review period (1st October 2022 – 6th February 2024)

- In January 2023, the University of Leeds enhanced its commitment to research integrity and quality by joining the UK Reproducibility Network (UKRN). As a member of this peer-led consortium, Leeds is now part of a national effort to promote robust research practices, training, and the sharing of best practices in research. This membership aligns with the University's ongoing efforts to foster a culture of open research and transparency. Under the guidance of the University's Institutional Lead for UKRN, and in collaboration with the Dean for Research Culture, and Dean for Research Quality, Leeds is spearheading

initiatives to improve research reproducibility and quality. The involvement in UKRN also complements the University's existing open research activities, such as [ReproducibiliTea](#) and [Open Lunches](#), and positions Leeds as a key player in maintaining the UK's reputation for world-leading research.

- The University's Open Research Group, chaired by Professor Bernadette Moore (Professor of Nutritional Sciences and Head of the Graduate School for the Faculty of Environment) and Claire Knowles (Associate Director: Research and Digital Futures) has commissioned 2 task and finish groups to support the institutional [Open Research Strategic Plan](#). The task and finish groups are designed to help realise the 'enabling open research practice' theme of the [Research Culture Strategy](#) and will focus on data storage and classification to support open research and open research training provision and resources.
- The [University's publication's policy](#) was updated in January 2023 to support our commitment to make more of our research outputs immediately available. The policy also supports authors to retain intellectual policy rights in their work. The updated policy features three new author requirements:
 - Authors must identify all contributors in all roles in all research outputs, this aligns with research culture initiatives to make sure all contributions are valued and recognised.
 - Authors must include a data accessibility statement in all research outputs, even when there are no data associated with the publication or the data are inaccessible.
 - Authors must retain the necessary rights to make the accepted manuscripts of research articles publicly available under the terms of a creative commons licence.
- In May 2023, the [PGR academic integrity tutorial and test](#) was introduced, which is designed to give students an overview of academic integrity and what good academic practice means during their research at Leeds. The tutorial covers: definitions and expectations of academic integrity; good academic and study practices; referencing, citing and quoting; note making and summarising; plagiarism and other forms of academic malpractice; and sources of advice and support. At the end there is a test to check student's understanding. The tutorial and test are available through the PGR Academic Integrity Tutorial and Test Minerva organisation and all PGRs (both new and continuing) are automatically enrolled. From 2023/24, a new process agreed by Graduate Board and the Progression and Examinations Group for the screening of PGR assessed work was introduced, to ensure a consistent application and approach to the use of [Turnitin for PGR assessed work](#) across the University. As part to the submission process, all PGRs must complete a declaration of academic integrity which includes confirmation that the work may be screened to verify the absence of plagiarised work.
- From 2023/24, a [PGR Proof-Reading Policy and Guidance](#) was introduced by Graduate Board which clearly defines the acceptable support that PGRs may

receive with the proof-reading of their thesis. It also includes a position statement on the use of Artificial Intelligence tools for PGR work.

- Since July 2022, a new online research ethics application and review system (Phoenix) has been in use in the Faculties of Business, Environment and Social Sciences, with the Faculties of Arts, Humanities and Cultures and Engineering and Physical Sciences utilising the system from January 2024. The system will be rolled-out in phases to the other faculties during 2024.
- A new Research Ethics website, hosted by the Secretariat, was launched in December 2023 to coincide with the wider roll-out of Phoenix. This provides detailed guidance on applying for research ethics approval, relevant policies and protocols and information on the Faculty Research Ethics Committees.
- The University's Research Integrity and Research Ethics online training courses, delivered via Minerva, have been redesigned and relaunched in a more interactive format using Evolve e-learning platform. The training is recommended for all staff and students who engage in, or support research activity at the University.

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.

Reflections on Progress

- Following the pilot of Phoenix in the Faculties of Business, Environment and Social Sciences, the online form has been updated and republished and will be rolled out across the whole institution by summer 2024. A comprehensive training plan has been developed and being implemented, including guidance documents and in person training/support for reviewers and applicants, and is supported by the launch of the new Research Ethics website.
- In the summer of 2023, two working groups made-up of academics, professional services colleagues and students were convened to produce initial guidance for the responsible use of Artificial Intelligence tools in research, teaching and administrative work. In September, the University published its Guidance to Staff on the use of Artificial Intelligence which is a first step to help colleagues think through the issues related to the outputs of AI tools and how to approach teaching, assessment and research. The guidance also extends to external lecturers, assessors and PGRs who have a temporary or part-time staff role.

- Work by a dedicated “Research Integrity Task and Finish Group” in 2023 has identified areas of improvement and development in our policies, systems and processes. This will include a detailed review of the University “*Protocol for investigating and resolving allegations of misconduct in academic research*” and related policies. The work will be taken forward by a new Group, as detailed below.
- The first meeting of the University’s Regulatory Network was held in December 2023. The Network provides an opportunity for those colleagues involved in the delivery of regulatory activities to come together and reflect and aims to enhance collaborative activity, provide collegial support and raise the profile of regulatory activity. The event in December highlighted in particular, the University’s work on compliance.
- Work is ongoing to reflect best practice and to drive effective policies in relation to the government’s Trusted Research agenda. We have been proactive and engaged in general information and awareness campaigns in the form of Trusted Research guidance, including information on export controls and the National Security and Investment Act, available on the RIS website. Export Controls training has been provided to faculty research committees, school staff, Research Operations and RIS teams. In regard to governance and policies, Senate ratified an Export Controls policy at the beginning of 2023 and an Export Controls Steering Committee has been set-up. A Counter Party Risk Group has also been established to review existing due diligence process and policy across the University with the aim of identifying overlaps, gaps and optimising due diligence processes to ensure a complete and consistent approach.

Future Developments for 2023/24 Academic Year

- In January 2024, the University published its first iteration of Generative AI Guidance for Taught Students, co-produced by the Working Group on AI in Student Education (WAISE) in consultation with representatives from our student community. The Working Group on AI Technology in Research (WAITR) is currently working on seeking feedback from relevant colleagues to deliver next steps and further guidance for AI adoption in Research.
- The University has continued its membership with UK Research Integrity Office (UKRIO) and will work with them to review and update research integrity policies, processes and training resources.
- Following approval by the Research and Innovation Board, a new group, to be chaired by the Dean of Research Quality and jointly-led by RIS and the Secretariat, will be set-up to devise a programme of improvements in our Research Governance, Ethics and Integrity, working across professional service functions and academic faculties as required. This will improve compliance with the Concordat to Support Research Integrity.

- As part of the revised governance structure, the UREC/FREC Refresh Group will be absorbed under the broader research integrity remit.
- A paper will be written by members of UREC outlining the proposed areas for amendment to the University's Research Ethics policy and consideration will then be given to setting-up a Task and Finish Group of UREC to discuss implementing the necessary changes.
- For PGR, an enhanced range of academic integrity training units are under development, covering themes such as working with others, collaboration acknowledging others, re-use of your own work in your thesis and viva examination expectations. Graduate Board is working with the institutional Working Group on Artificial Intelligence in Student Education to develop further guidance on the use of artificial intelligence tools for students, which will include the development of a PGR specific set of guidance.
- The Terms of Reference for UREC are regularly reviewed to ensure that the Committee remains aligned and operates effectively within the new governance framework, especially as its relationship with the Ethics and Vales Committee develops. The Terms of Reference will be updated to include reputational risk, scholarship and artificial intelligence.
- The University's proposed new ethical decision-making framework, which will provide further guidance to support ethical-decision making where the University is considering collaborating with, or accepting donations from, certain individuals, organisations or sectors. It was approved by the Ethics and Values Committee on 5 February 2024.
- Following a lengthy hiatus due to Covid and resourcing issues within the Research Ethics Team, annual audits of FREC approved research ethics applications will resume in 2024.

2D. Case study on good practice (optional)

Please describe an anonymised brief, exemplar case study that can be shared as good practice with other organisations. A wide range of case studies are valuable, including small, local implementations. Case studies may also include the impact of implementations or lessons learned.

Research Culture Strategy and Action Plan 2023-2028

- Following two years of intense consultation, the University has launched its strategy and action plan for improving our research culture. About a hundred colleagues who've been instrumental in shaping the strategy came together for a celebration day on 13th September 2023 to mark the occasion.
- Research culture describes the environment in which research and innovation happens, and how that environment impacts all those involved. The overarching

aim of our Research Culture strategy is to enable more of our colleagues to produce leading research inclusively, equitably, openly and supportively.

- We will focus our efforts on four strategic objectives (SO) that have been determined by consultation across our research community; different disciplines, career stages, backgrounds, and job families, via our inclusive research culture cafes, committee discussions, and an in-depth external analysis of a 2021 University-wide survey.
 - **SO1** We will value diverse forms of research activity
 - **SO2** We will embed EDI principles in research practices
 - **SO3** We will enable Open Research practices
 - **SO4** We will mutually support and develop research teams
- Alongside the strategy we ran an open call for funding to support Research Culture projects and initiatives. Projects must address one of the 4 strategic areas and are open to everyone. The call is supported from our Research England Enhancing Research Culture funding. We funded 13 projects totalling £280,000.

Dean for Research Culture, Professor Cat Davies *“Everyone in our research community must feel valued and empowered. Only by creating an environment more conducive to supporting mutual growth, encouragement and understanding can we best address the unique global challenges facing the world today and into the future.”*

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.

Organisation of Policies and Processes for Dealing with Allegations of Misconduct

- The main policy for investigating allegations of misconduct is the Protocol for Investigating and Resolving Allegations of Misconduct in Academic Research (which is currently under review). It sets out a framework for the investigation and resolution of allegations of misconduct. Once an allegation is submitted to the University Secretary and Registrar, three individuals (screeners) are assigned to consider the evidence and recommend the most appropriate course of action, this may include a full, formal investigation. The University Secretary and Registrar has overall responsibility for ensuring the integrity of misconduct allegations, resolving cases with appropriate actions and reporting outcomes to external bodies as required. This key protocol will be reviewed by the new, jointly-led RIS/Secretariat Group, drawing on best practice guidance and support from UKRIO.

- In 2022/23 PGR thesis cases were dealt with by the Committee on Applications (akin to taught student cases) cases at the transfer stage are dealt with at School level, but may be referred to the Committee on Applications. Where the allegation relates to published work, it would fall within the above Protocol for investigating research misconduct.
- From 2023/24, this procedure has been replaced by the new Postgraduate Researcher Academic Misconduct Procedure. Cases at transfer and thesis are dealt with at School-level, but may be referred to the Committee on Applications for second or serious offences. Work submitted for the taught elements of research degrees are covered via the procedures for Cheating, Plagiarism, Fraudulent or Fabricated Coursework and Malpractice in University Examinations and Assessments. From 2023/24, this procedure has been replaced by the new Academic Misconduct Procedure. The old procedures remain in use for all assessments completed and submitted in the 2022-23 academic session, including the August 2023 re-sit period, and earlier academic years.
- The University's Code of Practice on Whistleblowing (which is currently under review) is intended to encourage staff and students to report suspected wrongdoing (including professional malpractice, harassment and bullying), so an impartial investigation can be conducted.

The following policies are in place to handle other forms of misconduct:

- Policy on Dignity and Mutual Respect
- General University Disciplinary Regulations
- Student Complaints Procedure

Research Environment and Culture

- We have well established pathways to gather feedback on our existing Research Culture, which includes an anonymous "Tell us more" form and regular Research Culture Café events. In addition, the launch of regular Pulse Surveys to all staff and PGRs to gauge colleagues' perceptions and experience of different aspects of research culture. We have included a dedicated Pulse Survey covering research integrity, ethics and research misconduct. This information is already being used by the Research Culture Steering Group and related services to embed a supportive environment where concerns around research integrity can be raised and addressed.
- We regularly remind staff and students of our Report and Support system to report any incidents of concern and access specialist support from our Harassment and Misconduct Team. All incidents are taken very seriously, the reporting form can be submitted anonymously or there is an option to speak

directly to an advisor. We also advocate and provide support for those supporting others.

Key Lessons

The University will always seek, where possible, to learn lessons from any cases that have arisen to improve or enhance our processes.

For example, the first “Research Integrity” Pulse Survey has identified a relatively low awareness of research misconduct reporting procedures amongst technical staff. We will therefore work alongside the colleagues implementing the Technician Commitment and the Technicians Network to provide appropriate training opportunities.

In the roll-out of the online research ethics application system, Phoenix, we identified that although the system was fairly intuitive ‘on-the-job learning’ was ineffective. During the year, a thorough review of our guidance and support provision was initiated – in consultation with the Chair and Deputy-Chair of the piloting faculties – and a more hands-on approach to training and support for reviewers and applicants. It has been well-received and this has informed our engagement and communications strategy for the roll-out to the other faculties during 2024.

In addition to the systems training and guidance that has been provided to applicants and reviewers as part of the Phoenix roll-out, and to support the Research Integrity and Research Ethics online training already provided by OD&PL to researchers, the need for University-level research ethics reviewer training has also been identified. Drawing on best practice guidance and support from UK RIO, this would include topics such as ‘Exploring Common Ground and Disciplinary Differences’, which would be helpful for our larger FRECs, ‘Ethical Conduct from Conception to Dissemination’ (including ethical design and ethical conduct) and ‘Challenges’ such as vulnerable participants, use of human tissue and clinical trials of drugs and devices. Data governance and GDPR principles would also be included.

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	5	4 [#]	0	2
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)				
<i>Other*</i>				
Total:	5	4[#]	0	2
<p>*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.</p> <p><i>[Please insert response if applicable]</i></p>				

[#]One of these cases is ongoing and has been referred to the Committee on Applications.