

# Annual Research Integrity Statement 2022-2023

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From: University Executive Board

Date: January 2024

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## INTRODUCTION

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The University of Southampton ('the University') is strongly committed to fulfilling the principles of the [Concordat to Support Research Integrity](#) (October 2019) ('the Concordat') to create a comprehensive framework for responsible research conduct and governance. The principles and commitments include:

- Upholding the highest standards of rigour and integrity in all aspects of research.
- Ensuring that research is conducted according to appropriate ethical, legal and professional frameworks, obligations and standards.
- Supporting 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.
- Using transparent, timely, robust and fair processes to deal with allegations of research misconduct should they arise.
- Working together to strengthen the integrity of research.

In compliance with the Concordat, the University publishes a Research Integrity Statement on an annual basis. All previous statements published by the University are available on our [Research Integrity webpage](#).

The following Statement covers the period from **01 August 2022** to **31 July 2023**. It outlines the University's framework and activities in support of fostering a culture of research integrity and provides a high-level summary of research misconduct investigations undertaken by the University.

## UNIVERSITY'S COMMITMENT TO FOSTERING A CULTURE OF RESEARCH INTEGRITY

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The University of Southampton recognises the importance of undertaking our activities responsibly, in accordance with the highest ethical standards, and in compliance with the [Concordat to Support Research Integrity](#). The University's [Strategy](#), launched in January 2022, is based on our core purpose, to inspire excellence to achieve the remarkable and build an inclusive world. The University fully recognises our responsibilities to researchers and the wider community and is strongly committed to fostering a culture of research integrity, responsible research conduct, ethics, compliance, and governance across the full spectrum of our research activities.

## RESEARCH INTEGRITY LEADERSHIP

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The Vice-President (Research and Enterprise) has the overall responsibility for compliance with the [Concordat to Support Research Integrity](#) including the oversight of research policies, research ethics, research compliance and governance, as well as training and development opportunities for our staff and students. The following groups and committees support the Vice-President on matters relating to research integrity:

- **Research and Enterprise Executive Group (REEG)**
- **Research Integrity and Governance Committee (RIGC)**
- **University Research Ethics Committee (UREC)**
- **Animal Welfare and Ethical Review Body (AWERB)**

The Vice-President (Research and Enterprise) reports regularly to the University Executive Board (UEB), University Senate, and Council on research integrity matters to ensure institutional oversight.

Deans have an overall responsibility for researchers in their respective Faculties. They are supported by Associate Deans Research (ADRs) who represent their Faculty on REEG and RIGC and are responsible for championing research integrity and implementation of research policies and processes within their Faculties.

Deans and ADRs are further supported by Research Integrity Champions (RICs) who have been appointed for each University Faculty. RICs contribute to promoting and fostering a culture of research integrity within the disciplines relevant to their respective Faculties.

The Research Integrity and Compliance Office (RICO) and the Research Ethics and Governance Office (REGO) support the Vice-President (Research and Enterprise), ADRs and RICs on all matters related to research integrity, research compliance, and research ethics and governance.

## KEY RESEARCH INTEGRITY CONTACTS

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**Professor Mark Spearing**, Vice-President (Research and Enterprise), is the senior named person within the University of Southampton responsible for research integrity.

**Dr Julie Merriman-Jones**, Head of Research Integrity and Compliance, is the named first point of contact for queries or concerns about research integrity and/or allegations of research misconduct in line with the University's [Procedure for Investigating Cases of Alleged Misconduct in Research](#) and the [Whistleblowing Policy](#).

Contact: [researchintegrity@soton.ac.uk](mailto:researchintegrity@soton.ac.uk)

## RESEARCH INTEGRITY AND COMPLIANCE OFFICE (RICO)

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At the beginning of 2023, the University's Research Integrity and Governance (RIG) Team, which was established in 2016, was divided into 2 new teams to enable a greater focus on specific regulatory activities: Research Integrity and Compliance Office (RICO) and Research Ethics and Governance Office (REGO). Both teams are based within [Research and Innovation Services](#) (RIS).

**RICO responsibilities:**

- Leading on the compliance with the [Concordat to Support Research Integrity](#) through facilitating review and development of research integrity policies, guidance and processes.
- Providing expertise and advice on research integrity and research compliance matters in line with legal and ethical requirements and available guidance and codes of conduct.
- Providing advice and training to staff and students on all aspects of good and responsible research conduct including research integrity and research compliance.
- Management of the University's [Procedure for Investigating Cases of Alleged Misconduct in Research](#) and ensuring that any allegations of research misconduct concerning University staff are investigated in a fair and timely manner.

## RESEARCH ETHICS AND GOVERNANCE OFFICE (REGO)

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### REGO responsibilities:

- Oversight and management of research ethics processes through the University's ethics system ERGO, and governance review and monitoring of high-risk research projects.
- Providing expertise and advice on research ethics and clinical governance (including sponsorship of clinical trials and other externally regulated health and social care studies) in line with legal and ethical requirements and available guidance and codes of conduct.
- Providing advice and training to staff and students on all aspects of research ethics and clinical governance.

## RESEARCH POLICIES

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The University has comprehensive research policies and procedures to meet the expectations of the Concordat, including the **Code of Conduct for Research** which provides an important framework for conducting research at the University and covers the entire research lifecycle.

The University's research policies can be found [here](#).

To ensure that our research policies are up-to-date, and that new policies are developed if required, a Research Policies Action Plan is maintained by RICO, REGO and the Library and regularly reviewed by the Vice-President (Research and Enterprise) in consultation with RIGC, UREC, REEG and AWERB.

Before official release, each new or revised research policy is widely consulted with the University community. Changes to existing policies, or introduction of new policies and procedures, are communicated to staff and students via a number of communication channels, in line with our Research Policies and Guidance Dissemination and Communication Plan. The University aims to review and update its research policies every 3-5 years, or sooner where necessary in line with changes to relevant legislation, guidelines or requirements of regulatory bodies and funders.

## RESPONSIBLE COLLABORATION / RESEARCH FUNDING

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The University is committed to the highest standards of research integrity and ethics across all our activities including research, education and enterprise. The University has in place a [Statement of Responsible Collaboration](#) which states our position on considering research opportunities and funding in relation to potentially contentious organisations and sectors.

### Research Integrity and Governance Committee (RIGC)

- The University's Research Integrity and Governance Committee (RIGC) is chaired by the Vice-President (Research and Enterprise) and regularly meets 3 times per academic year. Its core responsibility is to foster a culture of research integrity and responsible research conduct amongst the University's academic community. It provides leadership on policy development in line with the Research Policies Action Plan and monitoring of implementation of regulatory compliance across the University. Membership of RIGC include ADRs, Lay Members and senior representatives from the Doctoral College, AWERB, Library, Finance, iSolutions, RICO and REGO. RIGC members provide Annual Research Integrity Reports for their respective Faculties/Departments which are considered by RIGC at the beginning of every academic year.

### Training and professional development

- It is the University's policy that all researchers should receive appropriate training and development opportunities to enable them to conduct research to the highest standards.
- Each University Faculty organises regular training, workshops, and awareness raising events for both staff and students on research integrity and University research policies and procedures. Examples of these include: good research conduct, ethics submissions on ERGO II, ethics in research with human participants and human tissue, good laboratory practice, animal research ethics, academic integrity, authorship, and data protection and management. Training is delivered both in-person, via remote online sessions and through online training modules. Information and advice is available on Faculties' Intranets and via regular newsletters, email communication or blogs.
- In addition to the training organised by the Faculties, RICO and REGO deliver training on all aspects of good and responsible research conduct including research integrity, research ethics, research compliance and clinical governance.
- University staff and students can also access a wide range of online skills training including technology, business, IT and creative thinking through the University's subscription to [LinkedIn Learning](#).
- **Doctoral College**
  - Leadership on training and personal development for postgraduate researchers is provided through the University's [Doctoral College](#). The University strongly supports the [Concordat to Support the Career Development of Researchers](#) and since 2012 has been holding and retaining the [HR Excellence in Research Award](#) for its ongoing work in implementing the Concordat.
- **Leadership training**
  - Line Managers of researchers or Line Managers who are researchers can attend The University of Southampton Line Manager Development Programme. This programme's enables participants to continue to develop their leadership style and enhance their knowledge and skills in relation to their line management responsibilities. The modules are engaging and interactive, they provide participants with opportunities to engage with their peers, share experiences and build their networks. They also have access to additional resources through the Line Manager Toolkit, the Line Manager Community, Leadership Circles and other workshops that provide deeper dives into line management topics.

Researchers (who do not have line manager roles) can also access a range of internally delivered workshops, eLearning and self-directed resources to develop their interpersonal skills topics such

as communication, working with change, team work, time management and personal leadership as well as the huge range of resources through MindTools for Business, Management Pocket Books, Scott Bradbury Watch and Go and LinkedIn Learning.

Here's a link that might help you see what's available [Online Learning \(sharepoint.com\)](#)

- **Centre for Higher Education Practice (CHEP)**
- The University [Centre for Higher Education Practice](#) (CHEP) promotes academic professional learning for every member of University staff, in all areas of academic activity and at every stage of their career, by working in partnership with University Faculties.

### Research and Innovation Services (RIS)

- Research and Innovation Services (RIS) developed the [RIS SharePoint site](#) which includes information for staff and students on all aspects of the research lifecycle (from research funding through to enterprise and commercialisation) with 'how to' guidance and signposting to important sources of information both elsewhere in the University and externally. This includes RICO and REGO guidance on research integrity, ethics, authorship, regulatory compliance and clinical governance. Some University Faculties created additional research integrity resources including case studies, reports, and links to relevant external websites which are available through the Faculty SharePoint sites.
- RIS publishes a monthly [RIS Newsletter](#) for researchers, and a termly publicly available magazine, [Re:action](#), both of which periodically include articles on research integrity, research culture, and University research policies and guidance written by RICO and REGO in cooperation with relevant academics and professional services staff.

### University Library

- The Library has developed a wide range of resources offering advice and support on [research data management](#) and [open access](#) research. To promote and foster best practice among staff and research students, the Library holds regular workshops and training on data management and open research, copyright clearance and publishing best practice, either face to face or via remote means. These courses can be booked via Gradbook (open to Post Graduate Researchers) or Staffbook, and other bespoke training sessions and talks can be arranged on request.
- The University has a **Responsible Research Metrics Policy** which was developed by the Library and is available [here](#) together with information on responsible use of metrics.

## RESEARCH ETHICS

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### University Research Ethics Committee (UREC)

The University has an overarching [Research Ethics Policy](#) and a number of ethics sub-policies. The University Research Ethics Committee (UREC), chaired by the Vice President (Research and Enterprise), meets 3 times per academic year and has the overall responsibility for the process of ethics review at the University, and for oversight, development and review of policies and guidance related to research ethics. UREC membership includes Faculty Research Ethics Committee (FREC) Chairs, the Chair of the Animal Committee, Academic Registrar, Student representative and Lay Members. UREC reports to the Research Integrity and Governance Committee (RIGC).

### Faculty Research Ethics Committees (FRECs)

Each University Faculty has a Faculty Research Ethics Committee (FREC) which is tasked with providing ethics reviews and approvals for research projects undertaken within the Faculty. All FRECs report

annually to UREC and all FREC Chairs are UREC members. Every year new FREC ethics reviewers receive comprehensive research ethics training from REGO.

## ERGO II - Ethics and Research Governance Online

Since 2012 the University has been using an internal system ERGO (Ethics and Research Governance Online) which is an integrated platform for obtaining ethics approvals, sponsorship and insurance, and allows REGO to provide digital oversight of research governance. The current system, ERGO II, was rolled out in March 2018, and since then its functionality has been continuously updated and expanded. ERGO II has improved and streamlined the ethics review process across the University, making it more user-friendly, as well as broadening the scope of ethics review to new areas raising ethics considerations.

All staff and student projects (including undergraduate and postgraduate students) which require an ethics review (notably but not exclusively studies involving human participants, animals, cultural heritage or analysis of data about people) must be registered, reviewed and approved through ERGO II. The system includes filter questions that allow researchers to check whether ethics review of their study is required. Retrospective ethics review is not allowed under any circumstances and where ethics approval was not obtained, this constitutes a breach of the University Research Ethics Policy.

Through ERGO II, in academic year 2022/2023, the Faculty Research Ethics Committees approved the following number of staff and student research projects:

▪ Faculty of Arts and Humanities:	370
▪ Faculty of Medicine:	143
▪ Faculty of Environmental and Life Sciences:	435
➢ Psychology Sub-committee:	516
➢ Geography and Oceanography Sub-committee:	168
▪ Faculty of Engineering and Physical Sciences:	321
▪ Faculty of Social Sciences:	727
➢ Business and Law Sub-committee:	1588

In addition, Research Ethics and Governance Office (REGO) jointly with the Insurance Team approved 429 ethics submissions of high-risk research projects and the University of Southampton sponsored studies, and 14 Sponsorship in Principle (SiP) applications.

## Research involving Cultural Heritage

Since October 2018 the University has the [Ethics Policy on Cultural Heritage](#) which applies both to land-based and underwater cultural heritage. The Policy aims to help researchers working with cultural heritage to consider the impact of their research, including the potential loss or damage to tangible cultural heritage, provenance and acquisition of artefacts, and working with human remains more than 100 years old.

## Research and education activities involving Animals

The University Animal Welfare and Ethical Review Body (AWERB) ensures that animal related research and activities are carried out according to ethical principles and the [3Rs](#) (Replacement, Reduction and Refinement). Its role is to ensure awareness of the highest standards of animal welfare and promoting a culture of care within the University academic community.

The University has a [Policy for Involving Animals in Research and Education](#) which was developed jointly by AWERB and the RIG Team. Information on the role and work of AWERB, examples of research involving animals, and number and types of animals used in regulated procedures, is available via the [AWERB webpage](#). The University supports and is a signatory to the [Concordat on Openness on Animal Research in the UK](#).

AWERB meets 4 times per academic year and addresses policy while the review process is undertaken by its 3 sub-committees:

- Scientific and Ethical Review Group (SERG) which reviews work covered under ASPA - Animals (Scientific Procedures) Act 1986.
- Animal Committee which reviews non-ASPA research (e.g., fieldwork in wild populations).
- Training and Competence Committee.

In academic year 2022/2023, AWERB and its sub-committees reviewed and approved the following research projects:

- 7 ASPA project licence applications and 11 applications for amendments.
- 4 project licence-holder 2- and 4-year progress reports and no retrospective assessments (as required by the Home Office).
- 74 applications for non-ASPA research and 24 amendments.

### **Administrative Research Ethics and Quality Assurance (AREQA)**

As part of the University Ethics Approval Process, any primary market research activity for the specific purpose of findings solutions to special organisational needs, needs to be reviewed and approved via the [AREQA](#) process.

### **CLINICAL GOVERNANCE**

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One of the responsibilities of REGO is to ensure that all clinical research sponsored by the University of Southampton is conducted in accordance with the principles of Good Clinical Practice and meets the relevant regulatory requirements set out by regulators.

The University has a trial portfolio of over 200 trials which have all had rigorous governance review and are subject to auditing and monitoring to ensure operational practices are maintained. During 2022/2023 59 new trials were sponsored and added to the portfolio.

### **RESEARCH CULTURE**

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The University strategic plans, launched in 2022, feature dedicated research culture objectives. Research culture is led by the Associate Vice-President for Interdisciplinary Research and informed by a dedicated Research Culture Group, including the institutional leads or co-leads for Equality, Diversity and Inclusion (EDI), Open Research, UK Reproducibility Network, Doctoral College (DC), and the Centre for Higher Education Practice (CHEP) which is responsible for researcher development. The group shares good practice and co-ordinates the activities that impact on research culture across the wider University.

In the academic year 2022-2023 the University has invested in additional posts to support research culture activity, including a Research Culture Manager (April 2023), a Research Fellow within CHEP (March 2023), a Research Culture team (3 posts) within the Doctoral College specialising in EDI and mental health and wellbeing (February/March 2023) and a UKRN Open Research Coordinator (July 2023).

Our programme of research culture activities in 2022-2023, funded through our Research England Enhancing Research Culture allocation, included projects to support compassionate and inclusive leadership, reverse mentoring, researcher workloads, self-awareness and wellbeing, as well as EDI, widening participation and mental health and wellbeing initiatives amongst doctoral researchers. An internal [SharePoint site](#) was launched to highlight best practice in research culture.

### **EXAMPLES OF RESEARCH INTEGRITY ACTIVITIES (01 AUGUST 2022 TO 31 JULY 2023)**

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- University's AWERB appointed [3Rs](#) Champions to advance the 3Rs at the University, and introduced annual 3Rs Awards with an award in each of the 3 categories: Replacement, Reduction

and Refinement. A wide range of applications were received from Faculties across the University highlighting the broad reach of these principles and the quality of research undertaken at the University.

- Doctoral College launched a new online [Research Integrity training](#) for PGR students and anyone who is new to undertaking research at the University. The course consists of six sections and covers key elements of research integrity, how principles of research integrity should be applied to research practices, international, national and University research integrity policies and guidance and research misconduct.
- The Faculty Research Ethics Committee (FREC) based in the Faculty of Environmental and Life Sciences (FELS) has been registered as an Independent Research Board (IRB) to enable the University to have [Federal Wide Assurance](#) (FWA) to meet the USA Office for Human Research Protection (OHRP) requirements.
- The Library published a suite of [Copyright Guides](#) for University activities, including copyright guidance for students, researchers and teaching staff. In addition, new training materials on third-party copyright for postgraduate students were developed and delivered.
- In November/December 2022 the University was inspected by the Office for Product Safety & Standards (OPSS) – the UK Regulator for the Nagoya Protocol, for our compliance with the requirements of the Nagoya Protocol on Access and Benefit Sharing (ABS). The audit was successfully passed by the University.
- Following a period of consultation, our Researcher Development Concordat (RDC) Action Plan was launched in November 2022. It includes actions to ensure managers and researchers are trained in, aware of, and maintain high standards of research integrity, as well as are able to report infringements or misconduct.
- In February 2023, as part of the international Love Data Week, several events took place around the theme of ‘data as an agent of change’. This included talks on ‘What you need to know about collecting and sharing your data?’, ‘Qualitative Data: the Human side of research data’, ‘Datakind: Making data an agent for change’, and a panel discussion on ‘Making data as ‘open as possible and closed as necessary’.
- Since March 2023 the University has been rolling out the new Export Controls online training developed collaboratively by the [Higher Education Export Controls Association](#) (HEECA) and subject matter experts from Government, Industry and the Higher Education sector, and jointly funded by the Research England Development (RED) Fund and Cranfield University with the University of Edinburgh. This training is open to both researchers and professional services staff. For access to the training please contact RICO at [exportandsecurity@soton.ac.uk](mailto:exportandsecurity@soton.ac.uk) .
- In March 2023 the Research Integrity and Compliance Office (RICO) submitted the Institutional Assurance and Annual Report on Possible Research Misconduct to the US Office of Research Integrity (ORI), in line with the requirements under the Public Health Services (PHS) Policies on Research Misconduct.
- In April 2023 RICO started to develop a new USA Financial Conflicts of Interest Policy as a sub-policy to the [University Conflicts of Interest Policy](#). It is anticipated that the new policy will be fully approved and implemented by the end of 2023.
- In May 2023 the University participated in Vitae’s Culture, Employment and Development of Academic Researchers Survey (CEDARS), which includes questions on research ethics and integrity. The survey results are used to further develop the actions within our Researcher Development Concordat (RDC) and inform wider conversations around research culture at the University.



- In May 2023 the Research Ethics and Governance Office (REGO) introduced a new Ethics Consent Form and new Consent Guidance which are available via ERGO.
- In July 2023, the University's AWERB organised a workshop to explore and define the University's Culture of Care. The event was well attended by individuals representing various roles around the care and use of animals in research including researchers, animal technologists, AWERB named persons, students and academic staff from departments that are not involved in research using animals.
- In July 2023 the UK Reproducibility Network (UKRN) Local Network Festival of Open Research took place, which included talks around the integrity of the scholarly record and practical steps to improve it, with the keynote presentation focusing on fraud in science and publishing.
- In July 2023, UEB approved the Annual Assurance Statement for 2022-2023, completed each year by all Deans and Executive Directors to provide assurance to the Vice-Chancellor and Audit Committee of compliance relating to key areas of risk across the University.

## **A RICH ENVIRONMENT PROMOTING AND SUPPORTING RESEARCH INTEGRITY**

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The University has a number of academic lead groups, centres and initiatives that develop and support aspects of ethics, integrity and good research practices, including:

- [Health Ethics and Law \(HEAL\)](#) (established in 2005) is a leading interdisciplinary research group which explores the nature of health care law and its impact on society. It actively promotes engagement between academics, health professionals and policy makers, and makes substantive contributions to theory and practice. HEAL regularly takes part in important public consultations that shape policy approaches and professional guidelines, and its members hold numerous editorial positions and board memberships of leading journals in the field.
- [Southampton Ethics Centre \(SEC\)](#) (launched 2013/2014) brings together a large community of researchers working on ethics and ethics related issues across the University. The Centre provides newsletters and information on national events and hosts events locally.
- [Clinical Ethics, Law & Society \(CELS\)](#) (established in 2010) is a multidisciplinary research group that explores the ethical issues of rapid medical technological advances through research, education, policy engagement and public dialogue. Since 2021 the CELS group includes members both from the University of Southampton and the University of Oxford.
- [National Centre for Research Methods \(NCRM\)](#) was established by the Economic and Social Research Council (ESRC) in 2004 and was originally coordinated from the University of Southampton. Since 2014, NCRM has been a partnership between 3 universities with international reputations in methodological research and training in the social sciences: University of Southampton, University of Manchester and University of Edinburgh.

## **EXTERNAL MEMBERSHIPS**

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To ensure that the University keeps abreast of best practice in matters related to the Concordat and research integrity, it is a member of several external bodies including:

- [UK Research Integrity Office \(UKRIO\)](#)
- [Association for Research Managers and Administrators \(ARMA\)](#)
- [Understanding Animal Research \(UAR\)](#)
- [Russell Group Research Integrity Forum \(RGRIF\)](#)
- [Russell Group Trusted Research Forum \(RGTRF\)](#)

- [Higher Education Export Control Association \(HEECA\)](#)
- [UK Reproducibility Network \(UKRN\)](#)

## Russell Group Research Integrity Forums

RICO actively participates within the Russell Group Research Integrity Forum (RGRIF) which aims to share best practice in the area of ethics and research integrity, and the newly established Russell Group Trusted Research Forum (RGTRF) which shares best practice in relation to Trusted Research and research compliance among the Russell Group Universities.

## UK Reproducibility Network (UKRN)

Since June 2020, the University has been a formal institutional member of the [UK Reproducibility Network](#) (UKRN), a national peer-led consortium that aims to ensure that the UK retains its place as a centre for world-leading research.

Moreover, since 2019, the University has had a Local Network Lead in place as a point of contact for UKRN and to oversee grass-root groups (including Early Career Researchers) that meet periodically across the University to discuss issues related to reproducibility and open research, including the [ReproducibiliTea](#) journal club at Southampton. More information can be found at: <https://library.soton.ac.uk/lovedata/reproducibiliTea>. A [new website](#) was also set up to promote Local Network activities at Southampton.

## ADDRESSING RESEARCH MISCONDUCT

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### University Students

Any concerns about research misconduct in relation to University students can be reported to the Curriculum and Quality Assurance (CQA) Teams based in every University Faculty. Such concerns will be treated as potential breaches of Academic Integrity (AI) and investigated by Academic Integrity Officers (AIOs) in line with the University's [Regulations Governing Academic Integrity](#).

### University Staff

The University has the [Procedure for Investigating Cases of Alleged Misconduct in Research](#) ('the Procedure') which has been revised and updated in February 2019 in line with the new requirements of research funders. It is managed by the Research Integrity and Compliance Office (RICO) and includes clear principles and mechanisms to ensure that any investigations are conducted in a fair, thorough, objective and timely manner. All allegations are treated with confidentiality and in line with data protection legislation. Any allegations concerning University staff (both present and past) can be reported at the Faculty level by contacting the Faculty's Research Integrity Champion (RIC) or the Associate Dean Research (ADR), or directly to RICO. As per the University's Procedure, all those raising concerns in good faith will be protected, supported and not penalised, in line with the University's [Whistleblowing Policy](#). This Procedure now needs to be reviewed, updated, and aligned with the Academic Integrity process. The review will be undertaken by RICO and will also aim to introduce a support function to ensure that throughout the process, both complainants and respondents have access to other services (such as mental health and wellbeing). The Procedure needs to be more encompassing and link with the [Dignity at work and study policy](#), as well as other existing policies where appropriate. As part of the review, RICO will benchmark the Procedure against other leading universities.

## Research Misconduct Investigations

The table below sets out the high-level details of investigations and findings in relation to research misconduct allegations covering University staff in academic year 2022/2023.

Type of allegation	Number of allegations		
	Number of research misconduct allegations reported to the University.	Number of allegations for which a preliminary investigation has been undertaken.	Number of allegations upheld (in full or in part).
	Academic Year	Academic Year	Academic Year
	<b>2022/2023</b>	<b>2022/2023</b>	<b>2022/2023</b>
Fabrication	0	0	0
Falsification	0	0	0
Plagiarism	0	0	0
Misrepresentation	0	0	0
Lack of authorship credit	1	1	0
Failure to meet legal, ethical and professional obligations	0	0	0
Multiple areas of concern (when received in a single allegation)	0	0	0
Other	0	0	0
<b>Total</b>	<b>1</b>	<b>1</b>	<b>0</b>

In addition to staff allegations/investigations, in academic year 2022/2023, there were 0 reported cases of academic integrity breaches for post graduate research (PGR) students.

As per our Procedure, where an allegation concerned funded research, or involved another third party, all relevant funders/third parties were informed about the allegation being investigated (in line with their policies and terms and conditions), as well as the outcome of the investigation.

### Lessons learned

RICO has been receiving at least a few research misconduct allegations every year, which suggests a good awareness of research misconduct issues amongst the academic community, but also that more training is required for all our researchers.

Based on investigations carried out to date, our Procedure needs to be slightly updated to cover some scenarios experienced during the investigations that are currently not mentioned in detail in the Procedure. A log of lessons learnt is being kept and the Procedure will be updated accordingly during the next review. The Procedure will be also updated, where necessary, in line with the revised UKRIO's Procedure for the Investigation of Misconduct in Research.

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This Statement was approved by the University Executive Board (UEB) on 9<sup>th</sup> January 2024, University Senate on 14<sup>th</sup> February 2024 and University Council on 6<sup>th</sup> March 2024.