



**University of
Nottingham**

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2021 University of Nottingham Annual Statement on Research Integrity to the Council

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Context

This is the *eighth annual statement on Research Integrity* that the University of Nottingham (referred to as 'the University' hereafter) is presenting to the Council (University's governing body) on the actions and activities undertaken for the period between **1 August 2020 and 31 July 2021** to sustain and further enhance research integrity in the University. To demonstrate the University's commitment to the Concordat to Support Research Integrity¹ (the Concordat, hereafter) and the majority of UK and EU research funders (e.g. UKRI, Wellcome Trust, NIHR etc.); the University has identified and made publicly available a named point of contact who will act as a first point of contact for anyone wanting more information on matters of research integrity, and act as confidential liaison for whistle-blowers or any other person wishing to raise concerns about the integrity of research being conducted under the University's auspices. In addition the University publishes and publicly released through our its website an annual statement on how it's meeting the requirements of the revised concordat for accountability and assurance on activities undertaken in support of research integrity.

(<https://www.nottingham.ac.uk/research/ethics-and-integrity/index.aspx>)

This annual statement, coordinated by Research and Innovation, has been developed following the guidelines and suggested structure of the statement from the UK Research Integrity Office (UKRIO) self-assessment tool and in line with commitment five of the Concordat. It provides a wide-ranging summary of actions and activities undertaken across the University to support and strengthen the understanding and application of research integrity, including addressing allegations of misconduct. This information was collected through a survey of activities supporting research integrity conducted across Faculties and relevant departments within Professional Services by the Head of Research Integrity. Each of the five Faculties, the University's International Campuses (UNM and UNNC), Human Resources, the Researcher Academy, Digital Research, Libraries and Student Services has responded separately.

This report has been reviewed by the University's Research Integrity Officer (Professor Dame Jessica Corner - The Pro-Vice-Chancellor for Research and Knowledge Exchange), the Chair of the University Research Integrity and Research Ethics Committee (Professor Penny Gowland) and approved by the latter Committee.

Actions and Activities that have been undertaken to support and strengthen understanding and the application of research integrity

The University is committed to 'The Concordat to Support Research Integrity' and its values through which trust and confidence in research stem, and from which the value and benefits of research flow. The University, through the various functions and departments, continues to publish, improve, update, and deliver a range of policies, guidance, training, resources to ensure a research environment characterised by our culture of research integrity, good research practice, and the development and training of researchers at all stages of their careers and to assist all staff and students involved in research to meet legal and ethical requirements, and help prevent research misconduct.

Below is a breakdown of the activities and actions undertaken within the University at the different levels and functions:

¹ <https://www.universitiesuk.ac.uk/sites/default/files/field/downloads/2021-08/Updated%20FINAL-the-concordat-to-support-research-integrity.pdf>

1. Research Integrity and Research Ethics - Centrally

1.1. Overview - institutional strategy and objectives to strengthen understanding of research integrity

Research integrity thrives in a positive research culture and environment and the University of Nottingham is committed to enhancing the culture in which research integrity is maintained. The University continues to review the processes and procedures for managing research integrity at an institutional level, with stronger leadership by the **University Research Integrity and Research Ethics Committee (URIEC)**². URIEC oversees and defines research integrity and research ethics policies, establishes the University's process and procedures for providing oversight of research integrity and ethical review, provides quality assurance of such procedures, ensures and monitors best practice of research integrity and research ethics across the University, advises the Research Committee on research integrity and research ethics components of the Code of Research Conduct and Research Ethics, and legal and statutory requirements, champions the training and the embedding of a culture of research integrity and good practice across all areas of the university and reviews and approves this University's Annual Statement on Research Integrity for submission to Council.

The Pro-Vice-Chancellor for Research and Knowledge Exchange is the named *University Research Integrity Officer (Professor Dame Jessica Corner)*, supported by URIEC³ and Head of Research Integrity. At the beginning of this academic year (2020-2021) a new chair for URIEC was appointed; Professor Penny Gowland (Professor of Physics)⁴.

The Head of Research Integrity acts as the secretary for URIEC and is the contact liaison for all Research Integrity matters across the University including research misconduct queries and investigations⁵.

1.2. Introduction and revision of research integrity policies and procedures, requirements, process reviews and support mechanisms

1.2.1. In July 2021, the University published a dedicated **Code of Practice for Research Ethics Committees (CoPREC)**⁶. Whilst the *Code of Research Conduct and Research Ethics* outlines the guiding principles for conducting research, the CoPREC outlines the minimum expectations for the operation of Research Ethics Review Committees and specific guidance on the operation of School, Department or Faculty Research Ethics Review Committees (RECs) and associated processes, including review criteria. It was designed to ensure alignment of process and governance but also allow discipline-appropriate procedures to be implemented where appropriate and ensures that RECs are always independent in forming their opinions. The CoPREC was designed to ensure alignment with the principles and standards of the Declaration of Helsinki: Ethical Principles for Medical Research Involving Human Subjects⁷ and draws from the joint publication 'Research Ethics Support and Review in Research Organisations'⁸ by the UK Research Integrity Office (UKRIO) and the Association of Research Managers and Administrators (ARMA) to support the research community in achieving high standards of research ethics review. It also builds on the UKRI ESRC framework for research ethics⁹; WHO ethical standards and procedures for research with human beings¹⁰; and the European Commission's Ethics for Researchers¹¹.

² <https://www.nottingham.ac.uk/governance/universitycommittees/research-ethics.aspx>

³ <https://www.nottingham.ac.uk/governance/universitycommittees/research-ethics.aspx>

⁴ <https://www.nottingham.ac.uk/research/beacons-of-excellence/precision-imaging/our-experts/penny-gowland/index.aspx>

⁵ <https://www.nottingham.ac.uk/research/ethics-and-integrity/>

⁶ <https://uniofnottm.sharepoint.com/:b:/r/sites/ResearchEthicsandIntegrity/CoPREC%20Docs/Code%20of%20Practice%20for%20Research%20Ethics%20Committees%20v1.1%2009%20July%202021.pdf?csf=1&web=1&e=WgpOMG>

⁷ <https://www.wma.net/policies-post/wma-declaration-of-helsinki-ethical-principles-for-medical-research-involving-human-subjects/>

⁸ <https://ukrio.org/wp-content/uploads/Research-Ethics-Support-and-Review-in-Research-Organisations-UKRIO-ARMA-2020.pdf>

⁹ <https://esrc.ukri.org/funding/guidance-for-applicants/research-ethics/>

¹⁰ <https://www.who.int/activities/ensuring-ethical-standards-and-procedures-for-research-with-human-beings>

¹¹ https://ec.europa.eu/research/participants/data/ref/fp7/89888/ethics-for-researchers_en.pdf

1.2.2. The University published its **Guidance for RECs on monitoring and audit**¹², templates, and a list of Frequently Asked Questions that is updated on regular bases to help with the implementation of CoPREC.

1.2.3. **The University's Code of Research Conduct and Research Ethics**¹³ (referred to as 'the Code' hereafter) provides a comprehensive framework for good research conduct, research ethics principles and the governance of all research carried out across the University. The Code takes into consideration the University's international campuses. The Code underpins the University's commitment to maintaining the highest standards of integrity, rigour and excellence in all aspects of our research and for all research to be conducted according to the appropriate ethical, legal and professional frameworks and standards. The Code is a fundamental component of the research environment, which is characterised by our culture of research integrity, good research practice, and the development and training of researchers at all stages of their careers. The Code outlines the duty of researchers including their responsibilities towards all human participants in research, animals, the environment, and cultural materials, and it provides a basis for the transparent and appropriate communication and dissemination of research findings.

As part of the annual review of the Code, the University Research Integrity and Research Ethics Committee is working to produce a Brief Summary of the Code as a separate document and aims to publish this in 2021-2022 academic year. The review will take into account changes and recommendations from external research funders, Acts of Parliament and other legislation, and developments in the field.

1.2.4. **The Quality Manual**¹⁴ sets out the regulations, policies and procedures around teaching and learning at the University. The manual is updated on regular bases and sets out information and guidance relating to academic misconduct¹⁵. Regular training is provided for academic misconduct officers in all schools and departments. The training scope does include research students.

1.2.5. **Research Ethics and Integrity SharePoint Pages**¹⁶ (internal) were published in May 2020 to provide central support on all aspects of Research Ethics and Research Integrity. These pages are continually updated, including contact information for the research ethics committees and resources for researchers.

Pre-recorded Video presentations are also being added to facilitate ease of access for researchers at their own time.

1.2.6. Guidance on the compliance with the **Nagoya Protocol** on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilisation to the Convention on Biological Diversity has been updated to reflect the changes introduced post Brexit¹⁷.

1.2.7. **Research Integrity Week**; As part of the University's commitment to strengthen the integrity of research, the University of Nottingham Research Integrity and Research Ethics Committee, with the Head of Research Integrity and the help of the Researcher Academy and UKRIO, have organised Research Integrity Week from 21-25 June 2021. One to two sessions intended to highlight many research integrity aspects, including ethical were delivered throughout the week and was open for staff and student at the University, including its international campuses. The sessions were recorded and subsequently published internally¹⁸ to all staff and student within the University.

1.2.8. **Research and Innovation COVID-19 resources**¹⁹ (internal) were published at the early stages of the COVID-19 and were updated as required. The main purpose of these pages was to support the research community within the University. The content aligned with the University's main COVID-19 advice and became a repository for all research related advice and guidance.

¹² <https://uniofnottm.sharepoint.com/sites/ResearchEthicsandIntegrity/SitePages/University-Research-Integrity-and-Ethics-Committee-Research-Ethics-Committees.aspx>

¹³ <https://www.nottingham.ac.uk/research/resources/documents/code-of-research-conduct-and-research-ethics-v7.0-june-2020.pdf>

¹⁴ <https://www.nottingham.ac.uk/qualitymanual/quality-manual.aspx>

¹⁵ <https://www.nottingham.ac.uk/qualitymanual/assessment-awards-and-deg-classification/pol-academic-misconduct.aspx>

¹⁶ <https://uniofnottm.sharepoint.com/sites/ResearchEthicsandIntegrity/SitePages/Code-of-conduct.aspx>

¹⁷ <https://uniofnottm.sharepoint.com/sites/ResearchEthicsandIntegrity/SitePages/Access-and-Benefits-Sharing.aspx>

¹⁸ <https://uniofnottm.sharepoint.com/sites/ResearchEthicsandIntegrity>

¹⁹ <https://uniofnottm.sharepoint.com/sites/ResearchandInnovation-COVID-19resources>

A dedicated page on Research Ethics and Integrity was developed within this resource to provide up to date information to all PI's, staff and students working on research projects, in addition to an online video presentation addressing Research Integrity and Ethics during COVID-19. This has highlighted potential changes to recruitment processes, social distancing requirements, best practices for data handling, information security and compliance, and potential implications and required actions.

- 1.2.9. Clinical Research and COVID-19;** Clinical Research is supported centrally by the Research Governance team. The team have dedicated internal pages that is kept up to date with COVID-19 information and resources in line with the HRA, MHRA and NIHR guidance.
- 1.2.10. After the virus blog series²⁰;** As the world looks forward to recovering from Covid-19, our researchers reflect on the challenges we face as well as opportunities to rebuild a more resilient, fairer society. There is little that is untouched by the virus, and our experts will examine issues ranging from international politics to individual mental health, from delivering economic recovery to consuming culture in new ways.
- 1.2.11. Research Integrity and Ethics Champions;** The University's Research Integrity and Research Ethics Committee working with the Pro-Vice Chancellor for Research Knowledge and Exchange and Faculties through the University's Research Committee have agreed and will roll out two new roles (Faculty Research Integrity Advisors and School Research Integrity and Ethics Champions). These two roles will support the promotion of Research Integrity and excellence in research across the schools and ensure awareness of ethical procedures and provide basic guidance to all researchers within the University. They will also support the dissemination of relevant messages of excellence and integrity in research and provide advice on poor research practices where identified. We will report on the progress of these in next year's annual statement.

1.3. Digital Research- Educational and Training provisions, Communication and Awareness Raising Activities

- 1.3.1.** The digital research team continues to update and refresh published guidance and materials to support researchers in managing their research data. The dedicated SharePoint pages²¹ (internal) included resources covering planning, data storage, process and analysis, archiving. The digital research team are a part of 'Research Data Café' that meets quarterly, with representatives from the Universities of Cambridge, Southampton, Oxford, KCL, UCL, Imperial, Queen Mary. Discussion focused on research data preservation and FAIR data principles²².
- 1.3.2.** Relevant material has been published in blog format, such as Conducting Research Interviews Securely Online²³ and Programming – it's all a question of style!²⁴ (looking at code reproducibility). A podcast on the benefits of using the University's Research Data Repository was created²⁵.
- 1.3.3.** Official launch of the *Automated Transcription Service*²⁶, allowing researchers to safely and securely transcribe audio files into text and increasing compliance with data protection regulations.
- 1.3.4.** Training and awareness sessions around digital research and data management planning, for both staff and PGRs;
- 'RDM and technology'
 - 'Digital research and remote working for PGRs'
 - 'Research data organisation – the nuts and bolts'
 - 'Research data repositories'
 - 'Digital tools to support the research lifecycle'

²⁰ <https://www.nottingham.ac.uk/research/covid-19/after-the-virus/index.aspx>

²¹ <https://uniofnottm.sharepoint.com/sites/DigitalResearch/SitePages/Publish.aspx>

²² <https://www.go-fair.org/fair-principles/>

²³ <https://blogs.nottingham.ac.uk/digitalresearch/2021/02/25/conducting-research-interviews-online/>

²⁴ <https://blogs.nottingham.ac.uk/digitalresearch/2020/08/24/programming-its-all-a-question-of-style/>

²⁵ <https://echo360.org.uk/media/3717c113-9b51-43d7-99ed-9c36fbd2ad17/public>

²⁶ <https://www.nottingham.ac.uk/dts/researcher/applications-and-tools/automated-transcription.aspx>

- ‘Digital research supporting research integrity’.

1.4. Libraries- Educational and Training provisions, Communication and Awareness Raising Activities

- 1.4.1. Research Data Management**
- Data management plan review: advise researchers on how to obtain & analyse data in a transparent, rigorous and ethical way. Advise on best practice in sharing data to ensure it is FAIR where possible, but secure when not.
 - Research Data Management training: Bespoke sessions to schools/research groups (primarily staff & PGRs). Moodle course on introduction to RDM (primarily PGR & PGT).
- 1.4.2. Support researchers in complying with copyright & funder obligations**
- Gold team staff ensure that researchers are complying with UKRI & Wellcome Trust Open Access requirements e.g. open license, acknowledgment of funders in manuscript.
 - Dedicated online pages on copyrights and advice.
 - Training sessions on Copyright & Where to Publish (primarily PGR).
- 1.4.3. Support transparent sharing of research findings**
- Management of RIS (publications) & RDMC (data) repositories.
 - Provide DOIs to ensure longevity of data underlying findings.
- 1.4.4. Increase understanding of Open Research at the University**
- Development of Open Research webpages.
 - Promote and advise on open protocols for systematic review and more widely.
 - Promote and advise on sharing of software as well as data.
- 1.4.5. Management of secure & sensitive data**
- Recently acquired a Safe Pod to ensure safe and secure access to sensitive external data sets at the University.
 - Provide access to a ‘dark’ archive where sensitive data can be archived but not shared.
- 1.4.6. Working with the University Research Integrity and Research Ethics Committee**
- Fed into Code of Research Conduct and Research Ethics annual review, ensuring Open Access and Research Data Management sections are up to date.
 - Took part in the University’s Research Integrity Week (21-25 June 2021) and delivered a session titled “Digital research and Libraries supporting Research Integrity”.

1.5. The Researcher Academy - Educational and Training provisions, Communication and Awareness Raising Activities

- 1.5.1.** The Researcher Academy (RA) is a provider of Research Integrity education and training and is responsible for both awareness raising with regards to professional conduct topics and the development of appropriate behaviours amongst postgraduate research students and Research Staff.
The Researcher Training and Development provision, which spans throughout all stages of the Researcher career, from PhD Students to Early Career Researcher to Supervisor and Senior Research Leaders, aims to instil and further develop the commitment to Research Integrity in our community. Despite the disruptions caused by the pandemic, the RA continued to support attendance to events and conferences through our Online Conference Fund and Public Engagement activities such as 3-minute thesis (3MT) and Pint of Science.
- 1.5.2. The Concordat to Support the Career Development of Researchers;** We are proud to have been awarded the European Commission’s HR Excellence in Research badge²⁷. The award was first won by the University in 2010 based on our commitment to implement the principles of the 2008 Concordat to Support the Career Development of Researchers²⁸. Since

²⁷ <https://www.vitae.ac.uk/policy/hr-excellence-in-research>

²⁸ <https://www.vitae.ac.uk/policy/concordat-to-support-the-career-development-of-researchers>

this original award the University has successfully renewed the award recognition following a biennial review process, most recently with a successful review in 2020. In 2021, the university confirmed its ongoing commitment to the Principles of the Concordat, in a letter signed by the Vice Chancellor committing to our implementation of the new 2019 Researcher Development Concordat²⁹.

A project is now underway to prepare our action plan for the implementation of the 2019 Concordat during 2021, which will be aligned to the University's Strategy and Visions and Research Strategy. Further information can be found [here](#)³⁰.

- 1.5.3.** The RA offers training in Research Integrity (RI) related topics both within the central programme of training and within a series of Faculty specific training programmes. During 2020-2021 the RA has supported the implementation, delivery and evaluation of the Research Integrity Courses developed by Epigeum³¹ (RI Comprehensive and RI Concise), with the new version launched in September 2020 via Moodle. RI Comprehensive: is a new version of the course. Similar to the previous RI Comprehensive, it is aimed for research students and is open to all staff at the University. The course has 6 core modules and 7 optional modules, where each module has an associated quiz at the end. Passing all 6 core modules qualify for a certificate. Enrolments to date: 457, Certificates awarded: 245

RI Concise; is a shorter version particularly useful as a refresher, open to all staff and students. Enrolments to date: 477, Certificates awarded: 322

The following research integrity related courses were delivered either through the RA central programme of training for researchers, or through the faculty specific programmes convened by the RA for the Faculties of Arts, Engineering and Medicine & Health Sciences:

a. *Within the central programme -*

- Identifying and managing intellectual property issues in research.
- Copyright condensed: a short introduction to copyright for your research.
- Introduction to responsible research and innovation.

b. *Faculty Programmes*

- Good laboratory practice: fundamentals.
- Good laboratory practice: techniques.
- Exploring ethics in research.
- A question of ethics: the use of humans and animals in biomedical research.
- Responsible Innovation: Engineering with Society Standalone Course.

- 1.5.4.** Working with the University of Nottingham Research Integrity and Research Ethics Committee, and the Head of Research Integrity, RA helped organise and deliver the Research Integrity Week from 21-25 June 2021.

- 1.5.5.** The Researcher Academy's training and development provision in the Research Integrity is informed and shaped by UKRIO guidelines and is delivered in partnership with the University's Head of Research Integrity. Working with the Head of Research Integrity, we facilitated the delivery of the following sessions:

- 3 sessions: Research Ethics for doctoral researchers (94 Doctoral students, Early Career Researchers, and Academics).
- 4 sessions: Introduction to the Code of Research Conduct and Research Ethics (99 Doctoral students, Early Career Researchers, and Academics).
- 3 sessions; Introduction to the ethics review process - for new Research Ethics Officers and Research Ethics Panel members (37 from across the University).

²⁹ https://www.vitae.ac.uk/policy/concordat/Download_Concordat_PDF/@_@download/file/Researcher-Development-Concordat_Sept2019.pdf

³⁰ <https://www.nottingham.ac.uk/researcher-academy/advocacy/the-concordat-to-support-the-career-development-of-researchers.aspx>

³¹ <https://www.epigeum.com/epigeum/>

- 1.5.6.** The Researcher Academy, through its many activities, holds membership and collaborates with a number of organisations that have got Researcher Integrity in the very core of their mission. Among them are:
- UKRI (and its Councils)
 - Wellcome Trust
 - Leverhulme Trust
 - U21
 - Vitae
 - EUA Council for Doctoral Education (EUA-CDE)

1.6. Human Resources- Educational and Training provisions, Communication and Awareness Raising Activities

The Research and Innovation team and the HR team have worked together to:

- 1.6.1.** Develop protocols and processes to ensure compliance with funder's requirements, e.g. assuring the funder that the researcher/s has not been subject to any allegations or investigations regarding bullying and harassment.
- 1.6.2.** The University of Nottingham is committed to enabling staff and research associates to excel in an inclusive environment, a place where they can truly be and bring their best self! We recently refreshed our Equality, Diversity and Inclusion Policy³² and have a clear programme of training, activities and events to promote diversity and inclusion. This included a 'Let's be clear about EDI' campaign and webinars plus events and activities to celebrate recognition months.
- 1.6.3.** The University hosted its first ever annual diversity festival in March 2020, engaging with over 5,000 staff, students and alumni. The last 12 months have seen a particular focus on supporting disabled staff by providing a toolkit and passport to help agree and document reasonable adjustments.
- 1.6.4.** The University submitted the final Code of Practice for REF in July 2021. The Code of Practice outlines the robust processes that the University has followed to make the REF2021 submissions. The Code also included four Equality Impact Assessments (EIAs): REF Governance Process; the Assessment of Research Independence; the Selection of Outputs; and the Personal Circumstances Process. The EIAs clearly articulate the improvements that have been made for staff with protected characteristics and sets actions plans for the future.

2. Faculties - Educational and Training provisions, Communication and Awareness Raising Activities

In line with the new CoPREC, each faculty has a Faculty Research Ethics Committee whereby the School Research Ethics Committees and/or Research Ethics Officers with the responsibility for research ethics, raising awareness of and providing training on research integrity and ethics, writing annual monitoring reports for Research Ethics Committees, and keeping their Schools informed about the University's policies on research integrity and ethics.

Due to COVID-19 restrictions, the University continued its measures to cancel face-to-face activities in the faculties. In order to help researchers navigate these imposed circumstances and to ensure the safety of both the researchers and the participants, projects under review and new applicants were

³² <https://www.nottingham.ac.uk/hr/guidesandsupport/equalityanddiversitypolicies/documents/equality-diversity-and-inclusion-policy.pdf>

provided instructions on how to redesign their research projects to avoid face-to-face data collection and employ safer alternative methods for data collection. Researchers were able to utilise both local and central resources tailored to navigate COVID-19 restrictions.

Various methods of communications, including email, newsletters, training platforms, announcement, workshops, internal SharePoint and workspace pages, main faculty/school website and shared drives are employed to inform staff and students of available resources, updates, and facilitate their access.

Below is a select of the activities reported by the faculties within the University.

2.1. Undergraduate, Taught and Research Students:

- Raising awareness on research integrity and plagiarism is an integral part of research skills training provided through a mixture of compulsory and non-compulsory modules.
- Research Integrity and Research Ethics is embedded in many UG and PGT courses. Example activities.
 - School of Biosciences a new work package on Research Ethics and Research Integrity has been developed for the BBSRC DTP Programme and training in specific research areas is being developed such as (i) conducting international research, particularly in LMICs; and (ii) experimental design and animal research.
 - The School of Chemistry ensures awareness of Research Integrity and the wider consequences of new materials and technology platforms by building upon early start activities in the Synthetic Biology Doctoral Training Programme and EPSRC CDT in Sustainable Chemistry.
 - Computer sciences PGT students are introduced to Research Integrity during their Research Methods module and a special session was run for them at the start of their projects. The Horizon CDT includes a compulsory module on responsible innovation (for new PhD students on that programme).
 - Pharmacy: research integrity training is included as part of the postgraduate induction programme. Undergraduates on MPharm degree are introduced to the Standards for Pharmacy Professionals, and Fitness to Practice (FtP) procedures, in their first few weeks on the course. FtP training includes Case Studies that include issues of research integrity.
 - Physics and Astronomy: Fourth year undergraduate modules offered on Science in Society which tends to spark discussions in the whole staff and student body.
 - Psychology: Undergraduate and PGT students receive training in research ethics as part of their undergraduate statistics modules and postgraduate research training modules on research methods, research design.
 - In Faculty of Engineering Undergraduate courses are accredited by the relevant professional bodies and as part of this accreditation standards are met which include teaching on Research Integrity and Ethics for students.
 - School of Cultures, Languages and Area Studies: All modules include information, prominently placed, along with in-class guidance and supervision advice on plagiarism, as well as the appropriate standards of individual student research.
 - School of Geography informs students on relevant training courses and useful documentation circulated mostly by e-mail. Reminders on the need for ethical review are also integrated into announcements of new research opportunities.
 - School of Law; Research integrity and ethics are addressed in the bespoke, term-long Research Methods in Law module which is compulsory for all new PGR students and

delivered in house by published experts in research methodology (assisted by Prof. van der Eijk (Methods and Data Institute) and Senior Research Librarian Tony Simmonds).

- School of Sociology & Social Policy; provides annual induction training in research ethics and the ethical review and REC process at the beginning of the academic year to all relevant School students (UG, PGT, PGR) incl. third-year undergraduates commencing work on their dissertation
- School of Medicine regularly present interactive Research Integrity Seminars
- PhD research programmes are supported by the training in research ethics provided through the Researcher Academy (delivered via different taught modules).
- The School of Law PGR Community Moodle page includes a section dedicated to research integrity and ethics with all relevant information and links to resources.
- School of Sociology & Social Policy; PGR students meet weekly for a series of seminars organized by the School's postgraduate research Director. One of these sessions is run by the School's Research Integrity and Ethics Officer, who presents the research ethics and governance procedures with doctoral candidates.
- All PhD students must complete a mandatory Research Integrity Training in their first year.

2.2. Research and Teaching (R&T) Staff:

All research-active staff in faculties are included in a range of systems which ensure that researchers abide by the appropriate standards of honesty, rigour and transparency. School Ethics Officers: The School Ethics officers keep their School up to date (via the School Research Committee, dedicated workshops, and emails to all staff) about University wide and Faculty specific policies on research ethics.

Ethics Officers have provided a series of teaching sessions (including lectures, seminars workshops and one-to-one drop-in sessions) for all staff and students at different levels of study and research engagement (UG, BSc, Masters and PhD). These sessions included consideration of ethical principles and dilemmas in research as well as information about research governance.

- The School of Biosciences and the School of Veterinary Medicine and Science host the Centre for Applied Bioethics (CAB). This research group comprises of academic staff from across the University, honorary professors and lecturers, research fellows and PhD students. These researchers conduct research in the field of applied bioethics focused on animal, agri-food and environmental management issues, and participatory ethics. Some of the current work is funded by EC H2020, The Bill and Melinda Gates Foundation, The Wellcome Trust, DFID/Royal Society, BBSRC, EPSRC, etc.
- The School of Chemistry research programme aims to develop Responsible Research and Innovation (RRI) skilled researchers and draws upon strategic collaboration with the University Institute for Science and Society.
- The School of Mathematical Sciences' Research Integrity Summary for Staff document was updated in June 2021. Available on Workspace/Moodle, it summarises actions taken by the University, the core elements of Research Integrity, School contacts, and available training for staff and students.
- The Sir Peter Mansfield Imaging Centre (SPMIC) weekly meetings regularly include features related to research practice and research integrity.

- Courses available for staff run by the university Leadership and Management Academy (LMA)³³, many of which include a research integrity component, including the research leadership training programmes.
- Research planning: all research-active staff have annual meetings with their Head of Department or departmental Director of Research to discuss their research plans for the next five years, including discussion of any issues arising.
- Mentoring: Early Career Researchers and new staff have experienced mentors assisting in the planning and conduct of individual research and its publication, including issues of research integrity. University induction meetings for postdocs include guidance on the University Research Integrity and Research Ethics policies and guidance.
- Peer review of research funding applications: all applications for external research funding are mentored in the Departments and the Schools. This includes monitoring of the appropriate disciplinary standards of honesty, rigour and transparency, as well as of adherence to the Code.
- Peer review of publications: in preparation for REF, publications were peer-reviewed internally for ranking and rating purposes. Publications published through Nottingham's RIS repository are also peer-reviewed internally, including checking that they adhere to the appropriate standards of research integrity.
- 3Rs are an integral part of our high standards for laboratory animal work and the associated reporting framework. Staff conducting in vivo studies in the Biomedical Support Unit aim to Reduce, Refine and Replace (3Rs) the use of animals as far as possible and their published results conform to the ARRIVE Guidelines.
- Research integrity reinforced as part of the annual appraisal process, circulation and promotion of the University's Code of Research Conduct and Research Ethics via email and at staff meetings.
- Responsible conduct of research, including ethical review, research integrity and discussion of the University Code of Research Conduct and Research Ethics is undertaken with all new R&T and Research staff as part of their induction process.
- School of Geography; new staff are briefed on the School's ethical review process as part of their induction.
- The School of Law ensures that every Early Career Researcher (ECR) and new member of staff is assigned a mentor with compatible research interests. The mentors assist with the planning and conduct of research and publications, including advising on issues of research integrity and ethics.
- School based research ethics committees either include colleagues for other schools in its membership or hosting (e.g. the Business school ethics committee) members from the different School's Departments to discuss issues and needs.
- Most schools maintain a dedicated researcher ethics committee webpages with regular updates and coming events.
- All schools have dedicated Research Ethics or Research Ethics and Integrity Offices who are available to discuss ethical issues with students and staff throughout the academic year.

2.3. University of Nottingham Malaysia Campus

³³ <https://www.nottingham.ac.uk/hr/services/leadership-and-management-academy.aspx>

- The University of Nottingham Malaysia (UNM) is currently establishing a new campus-wide committee to coordinate research integrity and research ethics activities at the Malaysia campus. This committee will be modelled on the UK campus's URIEC. It will oversee research integrity and research ethics activities of the Faculty of Science and Engineering (FOSE) and Faculty of Arts and Social Sciences (FASS), and will report to UNM's Research and Knowledge Exchange (RKE) Committee and the UK's URIEC. The chair is Dr Steve Stewart-Williams from the School of Psychology who is also a member of UK's URIEC.
- It is compulsory for all new postgraduate students to attend an induction programme that includes a seminar on the Code of Research Conduct and Research Ethics, and research integrity provided by the Faculty of Science and Engineering Graduate School. The basic process of the ethical review of projects seeking ethical approval, is also introduced.
- Individual Schools/Departments run separate sessions on research ethics and research integrity. These are delivered at the beginning of the Final Year Project modules.
- Each of UNM's faculty-level Research Ethics Committees has a dedicated Moodle page providing instructions on submitting ethics applications, standard forms and templates, Codes of Conduct, links to training on research ethics and integrity, and information about how allegations of research misconduct are handled by the University.
- The Graduate School incorporates research ethics and integrity into the induction for new PG students (e.g. by highlighting research ethics training conducted by the School) and offers research methods modules to PGT students as part of their MA programme.
- The University organized several webinars to support research integrity in 2021. This included a webinar delivered by Dr Thomas Barker in March about how to avoid predatory publications and a webinar delivered by Ms Faizatul Lela Jafar in June covering biosafety in research.

2.4. University of Nottingham Ningbo China

- During 2020-21 academic year, 11 training sessions were organised at faculty level for both students and staff.
- All BA, MA, and Research Methods modules incorporate research ethics including criteria for research ethics review.
- Special training workshop for academics and staff "Ethics and Research integrity for better Research" was conducted.
- Prof Brusich delivered paper "Big Data Ethics" at the University Ethics and Research Integrity Committee meeting which in turn triggered further work (in progress) to tackle this area across all campuses.
- New activities are planned to be included in curriculum for 2021/22 school year; A series of four lectures "Research and Innovation" has been included in PhD training for students in the upcoming academic year, with a focus on Research Integrity and Ethics.
- Proposed training for Computer Science academic staff "Research Ethics" was approved for and will be conducted in November 2021.
- Planned joint activities addressing research ethics and integrity challenges with Prof Jianli Jane Hao, the Head of Ethics at Xi'an Jiaotong-Liverpool University, Suzhou. Unfortunately, these activities were postponed due to travel restrictions related to corona virus outbreaks.

3. Research Relating to Research Integrity

3.1. Faculty of Arts:

School of English; Lucy Jones, as school director of EDI has focused on consulting staff over issues that touch on research (such as promotions, flexible working, etc). There was a School of English initiative focused on imposter syndrome (a PG workshop run by Lucie Sutherland in the first week of June), and of course at faculty level some staff have been liaising over the recent creation of the Centre for Black Studies – which is intended to support the work of black staff and research students.

3.2. Faculty of Science:

- a) The School of Biosciences (and the School of Veterinary Medicine and Science) host the Centre for Applied Bioethics. This research group comprises academic members of staff from across the University (Prof Millar, Dr Hobson-West, Prof Hyde), honorary professors and lecturers, research fellows and PhD students. These researchers are conducting research in the field of applied bioethics focused on animal, agri-food and environmental management issues, and participatory ethics. Some of the current work is funded by EC H2020, The Bill and Melinda Gates Foundation, The Wellcome Trust, DFID/Royal Society, BBSRC, EPSRC, etc.
- b) There are research projects on Responsible Research and Innovation taking place in the School of Computer Sciences' Horizon Digital Economy Research Institute, which incorporates a Research Integrity component. Within the Horizon 3 funding a project is looking specifically at responsible research and innovation with trusted data-driven products. This is also supporting ongoing work developing card-based tools to facilitate reflection on technology system ethics (and legal and social issues).
- c) Work within the School of Psychology towards developing a '3Rs' impact case study has been delayed by the pandemic but is now ongoing (Gibson, III). Establishing appropriate rights of ownership and use for human data.

3.3. Faculty of Medicine and Health Sciences:

- a) School of Life Sciences; Dr Angus Davison is undertaking an MRes and as part of the course has written a reflection on research integrity practices in the School and university and compiled a list of recommendations to be discussed with Dr Vince Wilson.
- b) School of Veterinary Medicine and Science;
 - i. Staff and students of the School benefit from activities and teaching led by the Centre for Applied Bioethics, which spans the SVMS and the School of Biosciences (led by Professor Kate Millar). Staff in the Centre have an interest in research integrity but, more specifically, undertake funded research related to research ethics.
 - ii. The Animal Research Nexus: Changing Constitutions of Science, Health and Welfare (Wellcome Trust 2017-2022). The overall programme seeks to identify what is required to remake the social contract around animal use in 21st century science and medicine. See <https://www.animalresearchnexus.org/>
 - iii. Ensuring the social legitimacy of animal research (ESRC PhD Studentship with RSPCA, 2019-2022). This project focuses on the topic of animal research, with the aim of comparing 'public' expectations around animal research governance with current UK policy. The project explores the public imaginaries of animal ethics committees known as AWERBs (Animal Welfare and Ethical Review Bodies), and how the democratic legitimacy of scientific practice is constructed.
 - iv. Dr Pru Hobson-West (moved to School of Sociology and Social Policy in 2018) remains an Honorary Associate Professor in the School of Veterinary Medicine and Science, teaches

bioethics in the School, and conducts her research work through the Centre for Applied Bioethics and the Institute for Science and Society (ISS).

v. Recent publications:

- Telling their own stories: Encouraging veterinary students to ethically reflect. Hobson-West P, Millar K. *Vet Rec.* 2021 May;188(10):e17. doi: 10.1002/vetr.17. Epub 2021 Mar 23.
- Animal Research beyond the Laboratory: Report from a Workshop on Places Other than Licensed Establishments (POLEs) in the UK. Palmer A, Greenhough B, Hobson-West P, Message R, Aegerter JN, Belshaw Z, Dennison N, Dickey R, Lane J, Lorimer J, Millar K, Newman C, Pullen K, Reynolds SJ, Wells DJ, Witt MJ, Wolfensohn S. *Animals (Basel)*. 2020 Oct 13;10(10):1868. doi: 10.3390/ani10101868.
- Animal research nexus: a new approach to the connections between science, health and animal welfare.
- Davies G, Gorman R, Greenhough B, Hobson-West P, Kirk RGW, Message R, Myelnikov D, Palmer A, Roe E, Ashall V, Crudgington B, McGlacken R, Peres S, Skidmore T. *Med Humanit.* 2020 Dec;46(4):499-511. doi: 10.1136/medhum-2019-011778. Epub 2020 Feb 19.
- Animal Research, Accountability, Openness and Public Engagement: Report from an International Expert Forum. Ormandy EH, Weary DM, Cvek K, Fisher M, Herrmann K, Hobson-West P, McDonald M, Milsom W, Rose M, Rowan A, Zurlo J, von Keyserlingk MAG. *Animals (Basel)*. 2019 Aug 29;9(9):622. doi: 10.3390/ani9090622.

3.4. Faculty of Social Sciences

a) School of Geography: Several members of staff have editorial roles with leading journals.

b) School of Politics: One member of staff is engaged in research on *research transparency and reproducibility*.

c) Sociology & Social Policy:

- Pru Hobson-West funded research work looks at the use of animals as models in laboratory science. This is central to the idea of research ethics in the medical and veterinary sciences. The University of Nottingham is also signed the Concordat on Openness, where Pru's work contributes to, and studies, this agenda.
- Pru Hobson-West leads a 5 year programme of work at Nottingham, together with 4 other leading UK Universities, funded by the Wellcome Trust (this project has now been extended to 6 years, finishing April 2023). The aim of this work is to deliver new thinking, research, and engagement to increase understanding of the social relations around animal research <https://animalresearchnexus.org/>
- In May 2021 Pru Hobson-West and Kathleen Salter (SSP, PGR) ran a workshop for members of the University of Nottingham AWERB (Animal Welfare Ethics and Review Body).
- In Nov 2020 Pru Hobson-West, Alistair Anderson, Renelle McGlacken and Kathleen Salter delivered a workshop, open to the public, as part of the ESRC festival of social sciences 2020. This led to a new website on public engagement and animal research <https://www.labanimallabels.co.uk/>
- In 2021 Renelle McGlacken (PGR, now staff) completed her PhD in SSP on the topic of publics and animal research.

3.5. Faculty of Engineering

No return

3.6. University of Nottingham Ningbo China

- a) Xiang Zhang, Jialu Zhang, Matthew Pike, Nasser M. Mustafa, Dave Towey, Vladimir Brusic. Sensor Networks and Personal Health Data Management: Software Engineering Challenges. Proceedings of the Future Technologies Conference FTC 2020: Proceedings of the Future Technologies Conference (FTC) 2020, Volume 3 pp 140-159]
- b) Zhou J, Wu K, Smyth N. Implementing the Global University Publications Licence: a new open scholarship model for advocating change. Insights. 2021 Feb 17;34(1).

4. External Collaborations and Initiatives to Support Research

Integrity

All Faculties have reported to have either contributed to or been involved in external events and activities in support of research integrity. For example:

- a) School of Biosciences:
 - i. Prof Millar and Dr Hudson-Shore (School of Biosciences) have an ongoing collaboration with the Fund for Replacement of Animals in Medical Experimentation (FRAME; 2019 onwards) to develop and run an annual Training School on Ethics, 3Rs and Experimental Design.
 - ii. Strengthening good practice at the University the Training School will be held at the Sutton Bonington campus on alternate years. The next School at Nottingham will be held in April 2022.
 - iii. Members of CAB, Prof Millar and Dr Hudson-Shore have also developed a new 'Excellence in Research Practice' Training Workpackage integrating Research Ethics and Research Integrity training for the BBSRC doctoral training programme (DTP) 2020-2028.
 - iv. Prof Millar co-organised a Workshop on Ethics Training to Scientists at EurSafe 2021, Fribourg, Switzerland (held online) 23 – 26 June 2021
 - v. Prof Millar contributed to the University of Nottingham's July Research Integrity Week.
- b) School of Computer Science: The Horizon CDT and HoRRizon project partner with ORBIT, based at DeMontfort University.
- c) School of Physics and Astronomy:
 - i. Professor Penny Gowland participated in Peer Review Panels for IOP and Sense about Science. She also chairs the University Research Integrity and Research Ethics Committee.
 - ii. Dewey: Involved in online teaching and mentoring for the International Network for the Availability of Scientific Publications, covering the basics of research integrity and ethics (Jan 2021).
 - iii. Dewey: Involved (with Jalpa Ruparella, School of Pharmacy) in an unconscious bias in STEMM research consensus panel at university level (Sep 2020).

- d) School of Psychology:
- i. Holmes (open science lead) was an Invited Discussant at University of Reading's 100th Anniversary conference on 'Reproducibility in Psychology'. He is now also a regular attendee at the RIOT Science Club (Reproducible, Interpretable, Open & Transparent Science) seminars and plans to start-up a RIOT branch in Nottingham in Autumn 2021.
 - ii. Jackson continues to serve on the editorial board of Cortex, which is amongst the first few journals of our discipline to make adherence to transparency and openness a requirement for publication.
 - iii. Although working with animals forms a small proportion of the school's activities, but we make a significant contribution to promoting best practice at the national level. Cassaday was lead reviewer for the Guidelines for Psychologists Working with Animals the updated version of which was published by the British Psychological Society autumn 2020. Within the institution.
- e) School of Health Sciences;
- i. The School Research Ethics Officer has been appointed as an expert member of the Scientific Advisory Panel of Pharmacy Research UK (PRUK). She is also an external member of the University of Nottingham School of Pharmacy Research Ethics Committee.
 - ii. In addition, individual staff hold positions which impact on research integrity, e.g. roles on editorial boards of journals, membership of funding bodies (NIHR, national charities) and membership of professional bodies (RCP, RCN, CSP, BPS, UKSBM).
- f) School of Life Sciences: Professor Jonathan Ball has been participating on BBC Radio Nottingham Q&A sessions daily (Mon-Fri, 6:50-7:00am) since the start of the pandemic, where he answers question from the audience on Covid-19 issues, including research ethics issues.
- g) School of Veterinary Medicine and Sciences;
- i. Dr Richard Lea (Ethics Officer) consults contacts within the Veterinary Medicine's Directorate (VMD), as and when appropriate.
 - ii. The Animal Research Nexus programme, which Dr Pru Hobson-West in involved in, involves collaboration with individuals from external bodies including NC3Rs and MRC (see <https://animalresearchnexus.org/people/pac>)

5. Internal Monitoring and Audit Processes

As noted earlier in this report, in July 2021, the University published a dedicated **Code of Practice for Research Ethics Committees (CoPREC)**³⁴. Whilst the *Code of Research Conduct and Research Ethics* outlines the guiding principles for conducting research, the CoPREC outlines the minimum expectations for the operation of Research Ethics Review Committees and specific guidance on the operation of School, Department or Faculty Research Ethics Review Committees (RECs) and associated processes, including review criteria. It was designed to ensure alignment of process and governance but also allow discipline-appropriate procedures to be implemented where appropriate and ensures that RECs are always independent in forming their opinions.

The CoPREC was designed to ensure alignment with the principles and standards of the [Declaration of Helsinki: Ethical Principles for Medical Research Involving Human Subjects](#) and draws from the joint publication '[Research Ethics Support and Review in Research Organisations](#)' by the UK Research Integrity Office (UKRIO) and the Association of Research Managers and Administrators (ARMA) to support the research community in achieving high standards of research ethics review. It

³⁴<https://uniofnottm.sharepoint.com/:b:/r/sites/ResearchEthicsandIntegrity/CoPREC%20Docs/Code%20of%20Practice%20for%20Research%20Ethics%20Committees%20v1.1%2009%20July%202021.pdf?csf=1&web=1&e=WgpOMG>

also builds on the [UKRI ESRC framework for research ethics](#); [WHO ethical standards and procedures for research with human beings](#); and the [European Commission Ethics for Researchers](#).

URIEC will work with Faculties and Schools to ensure the implementation of the CoPREC and will evaluate and review the CoPREC on annual bases.

The University Research Integrity and Research Ethics Committee (URIEC) has overall responsibility for monitoring research integrity and ethics. URIEC undertakes an annual monitoring review of all ethics committees operated by Schools and Faculties. The new/current monitoring requires the annual collection of qualitative and quantitative data through direct reports from each of the five faculties and the two international campuses. Each Faculty REC is responsible for managing and reporting on their schools-based RECs. The Head of Research Integrity (Research and Innovation) collects all the relevant reports. These are then reviewed by URIEC, who highlights any issues and makes recommendations for any new policies that may need to be developed, identify training requirements, highlights good practice and areas for development.

6. Research Misconduct

6.1. Reporting and Handling Allegations of Research Misconduct

The University has relevant policies and procedures to respond to research misconduct; namely The Code of Practice on Handling Allegations of Research Misconduct³⁵, Policy on academic misconduct³⁶ Regulations of Academic Misconduct, Staff Disciplinary Procedure³⁷, Whistleblowing (Public Interest Disclosure) Code³⁸, Grievance Procedure³⁹ and the University of Nottingham Ethical Framework⁴⁰.

These procedures have appropriate principles and mechanisms to ensure that investigations are thorough and fair, carried out in a transparent and timely manner, and protected by appropriate confidentiality.

As all these procedures and policies are reported into different administrative services, the University Research Integrity Officer (The Pro-Vice-Chancellor for Research and Knowledge Exchange) and the Head of Research Integrity are the main points of contact for reporting allegations of research misconduct at an institution level and the University's Head of Research Integrity ensures compliance with the Code of Practice on Handling Allegations of Research Misconduct and keeps a record of any investigations.

6.2. Anonymised Summary on Investigations into Allegations of Research Misconduct

The University has introduced a new Code of Practice on Handling Allegations of Research Misconduct in January 2020. The process provides clear definition of Research Misconduct and the procedures to be followed in line with guidance from UKRIO, UKRI, and the Advisory, Conciliation and Arbitration Service (ACAS). The University's proficiency in promoting and raising awareness of research integrity has increased, and consequently the number of cases on research

³⁵ <https://www.nottingham.ac.uk/research/resources/documents/code-of-practice-on-handling-allegations-of-research-misconduct-v1-09-jan-2020.pdf>

³⁶ <https://www.nottingham.ac.uk/qualitymanual/assessment-awards-and-deg-classification/pol-academic-misconduct.aspx>

³⁷ <https://www.nottingham.ac.uk/hr/guidesandsupport/performanceatwork/disciplinaryprocedures/index.aspx>

³⁸ <https://www.nottingham.ac.uk/governance/otherregulations/whistleblowing/index.aspx>

³⁹ <https://www.nottingham.ac.uk/hr/guidesandsupport/complaintsgrievanceanddignity/grievance/index.aspx>

⁴⁰ <https://www.nottingham.ac.uk/governance/otherregulations/ethical-framework.aspx>

misconduct investigated have decreased compared to the number of cases reported in previous years.

The details of investigations into allegations of research misconduct reported this year are as below:

- Between **1 August 2020 and 31 July 2021**, several complaints were received throughout the period, the majority of which were authorship disputes that were resolved by mediation before any research misconduct taking place. All the complaints received by the Head of Research Integrity did not fall with the research misconduct remit, as defined in the Code of Practice on Handling Allegations of Research Misconduct and the Concordat to Support Research Integrity. However, complainants were redirected to the appropriate procedures, relevant institutions or advised on the best course of action.
- Between **1 August 2020 and 31 July 2021**, only 1 PGR student has been investigated for academic misconduct, but allegations were not upheld (reported in the table below).

Reference No.	Staff/student	Funder	Fabrication	Falsification	Plagiarism	Misrepresentation	Breach of duty of care	Improper dealing with allegations	Other	Allegations upheld
n/a	student	n/a	0	0	1	0	0	0	0	0

Formal Investigations between 1 August 2020 and 31 July 2021

6.3. Lessons Learned and Identified Needs

Lessons learned assessment is undertaken after every complaint for the purpose of recording, sharing, avoiding any shortfalls identified, improving current standards and good practices, and contribute to organisational growth and maturity by achieving long term improvements in the way we embed and share best practices.

Although journals have specific guidelines on activities that qualify named author, it was recognised that increasing awareness and clearer communications, for researchers at all levels, are needed in this area. In addition, there is further training and awareness raising regarding the planning for research publications and papers in terms of named authors.

As noted in section 1.2.11., the University's Research Integrity and Research Ethics Committee, working with the Pro-Vice Chancellor for Research Knowledge and Exchange and Faculties through the University's Research Committee, have agreed and will roll out two new roles (Faculty Research Integrity Advisors and School Research Integrity and Ethics Champions). These two roles will support the promotion of Research Integrity and excellence in research across the schools and ensure awareness of ethical procedures and provide basic guidance to all researchers within the University. They will also support the dissemination of relevant messages of excellence and integrity in research and provide advice on poor research practices where identified. We will report on the progress of these in next year's annual statement.

7. Closing statement;

This annual statement to the Council summarises the actions and activities that the University of Nottingham has undertaken to sustain and further enhance research integrity, it also outlines some of the measures taken to reduce the impact of some of the restrictions imposed due to Covid-19.

This statement draws a picture of the activities undertaken within the University of Nottingham in 2020-2021 academic year, but by no means a full picture of the commitment of our researchers (students and staff), administrative and professional services, and leadership to uphold the highest standards of rigour and integrity and their dedication.

This statement confirms the University's compliance with the Concordat to Support Research Integrity.

8. *Action for the Council*

The Council is requested to approve this Annual Statement on Research Integrity and take note of the activities the University has undertaken to sustain and further enhance research integrity across all aspects of a research process.