The Concordat to Support Research Integrity

Annual Statement 2020/21

Background

1. The University of Wolverhampton (henceforth The University) is committed to maintaining the highest levels of research integrity and adheres to the five principles of the *Concordat to Support Research Integrity*:

1. Maintaining the highest standards of rigour and integrity in all aspects of research
2. Ensuring that research is conducted according to appropriate ethical, legal and professional frameworks, obligations and standards
3. 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
4. Using transparent, robust and fair processes to deal with allegations of research misconduct, should they arise
5. Working together to strengthen the integrity of research and to reviewing progress regularly and openly.

The University's senior lead for research integrity is the Dean of Research (Professor Silke Machold), and the University's administrative lead is the Research Integrity Manager (Ms Jill Morgan).

2. This annual statement reports on the University's compliance with the principles of the Concordat in the academic year 2020/21, and the steps we have taken to review our processes and procedures to ensure they remain aligned the principles of the Concordat.

Maintaining the highest standards of research integrity

3. In line with the Concordat, all researchers[1] at the University are required to conduct research in accordance with the core elements of research integrity, namely honesty in all aspects of research, rigour in line with prevailing disciplinary standards and norms, transparency and open communication, and care and respect for all participants in and subjects of research.

4. The University provides Ethics Guidance (https://www.wlv.ac.uk/research/about-our-research/policies-and-ethics/ethics-guidance/) to enable all researchers to understand and act according to expected standards, values and behaviours. Following the revised national Concordat, our review of good practice and annual ethics review, we provided an update Handbook for Ethical Review and Approval 2020-21; a University Ethics Policy; and a Code of Good Research Practice. These provide researchers with a framework of processes, but also articulate standards, values and behaviours. We have updated the ethics guidance webpage to support researchers to understand and act on these.

[1] We follow the guidance of the UK Research Integrity Office (2009) and define researchers as "…any people who conduct research, including but not limited to: as an employee; as an independent contractor or consultant; as a research student; as a visiting or emeritus member of staff; or as a member of staff on a joint clinical or honorary contract."

Conduct of research according to appropriate ethical, legal and professional frameworks, obligations and standards

5. The University Ethics Policy, Code of Good Research Practice, and the Handbook for Ethical Review and Approval outline the policies and processes related to ethical approval. It is made available to researchers via the Ethics Webpages, which are referred to at induction and through ethics training. We have updated researchers of the revisions made in 2020-21 through the ethics committee, an all- staff email and staff newsletter.

6. In addition to the Handbook, the University has a number of policies and procedures which support the University's commitment to research integrity. 'Research Policies, Procedures and Guidelines' https://www.wlv.ac.uk/research/research-policies-procedures--guidelines/ contain all relevant policies, for ease of use, whereas the 'Ethics Guidance' https://www.wlv.ac.uk/research/research-policies-procedures--guidelines/ethics-guidance/ provides the repository for all ethics-related policies and processes.

- Policy Statements on Equality and Diversity https://www.wlv.ac.uk/about-us/corporate-information/equality-and-diversity/policies-and-governance/policy-statement/
- Transparency Policy (including Anti-bribery, conflicts of interest, Fraud and Whistleblowing) https://www.wlv.ac.uk/about-us/governance/legal-information/corporate-compliance/transparency/
- Data Protection https://www.wlv.ac.uk/about-us/governance/legal-information/corporate-compliance/data-protection/
- Freedom of Speech https://www.wlv.ac.uk/about-us/governance/legal-information/freedom-of-speech-/
- Health and Safety Policies https://www.wlv.ac.uk/staff/services/hsd/policies-procedures--forms/
- Intellectual Property Policy https://www.wlv.ac.uk/media/departments/office-of-the-vice-chancellor/documents/Intellectual-Property-Policy---Version-3---approved-July-2016.pdf
- An Open Research Statement (NEW) https://www.wlv.ac.uk/media/departments/research/documents/Open-Research-Statement.pdf alongside our Open Access Publications Policy https://www.wlv.ac.uk/research/research-policies-procedures--guidelines/
- Policy for Use of Human Tissue for Research https://www.wlv.ac.uk/research/research-policies-procedures--guidelines/
- Data Management Policy (including open data) https://www.wlv.ac.uk/research/research-policies-procedures--guidelines/
- University of Wolverhampton Research Indicators (Metrics) Policy https://www.wlv.ac.uk/research/research-policies-procedures--guidelines/
- Academic authorship policy https://www.wlv.ac.uk/research/research-policies-procedures--guidelines/
- Institutional Sponsorship Policy – Health and Social Care Research https://www.wlv.ac.uk/research/research-policies-procedures--guidelines/

7. We have added subject-based ethics resources to the website (organised by Faculty). We have created the post of Research Integrity Manager to support the University and researchers to adopt best practice in relation to research integrity and ethics.

Embedding a culture of research integrity

8. Oversight of research integrity lies with the University Ethics Committee (UEC), a sub-committee of the University Research Committee. The UEC is chaired by the Dean of Research, who is also the senior institutional lead for research integrity. The contact details are published on the University website, with a click-through link to ease reporting https://www.wlv.ac.uk/research/research-policies-procedures--guidelines/research-integrity/.

9. Each Faculty has a Faculty Ethics Committee (FEC), a sub-committee of the Faculty Research Committee, which scrutinises and approves ethical submissions by researchers at subject level, and provides additional guidance in respect of subject-specific ethical requirements. FECs have lay person membership. Annually, each FEC provides a standardised report to UEC, which enables the monitoring of FECs and sharing of good practice.

10. Resources on research integrity are available through the website, and via the University' Virtual Learning Environment (Canvas) – Research Staff Development Programme and Postgraduate Researcher Development Programme.

11. The University has made a commitment to supporting researcher development through subscription to the Vitae Researcher Development Framework Planner. This assists with professional development and career planning and provides developmental resources.

12. Training on research integrity is provided by the Doctoral College. The programme is signposted to staff via the University's Organisational Development webpages, and to research students via the Doctoral College webpages. We run an annual Research Integrity Symposium for our research students.

13. We regularly review and update our policies and procedures in the light of national and international developments. In 2020/21, we provided additional guidance to researchers on COVID-19 related adjustments, including updated links to the NHS Health Research Authority Guidance.

14. Our research strategy highlights research integrity as an underpinning principle as well as identifying the development of a research culture that promotes rigour integrity and responsible research among the three strategic priorities.

15. We joined the UK Reproducibility Network https://www.ukrn.org/ and became signatories to the Declaration on Research Assessment DORA https://sfdora.org/ to contribute to best practice on research culture and research integrity.

Research Misconduct

16. For staff (current, former and honorary), the Procedures of Dealing with Allegations of Misconduct in Research (Staff) govern how we deal with allegations. For research students, misconduct processes are encompassed in the University's Regulations and Procedures for Academic Misconduct. Both are published on the University website https://www.wlv.ac.uk/research/research-policies-procedures--guidelines/ethics-guidance/research-misconduct/, and kept under regular review.

16. The University's Transparency Policy identifies the procedures of making public interest disclosures ('whistleblowing'), and how the University deals with disclosures. The contact email address for such disclosures is transparency@wlv.ac.uk.

17. In the academic year 2020/21, we completed one investigation that was initially raised in 2019/20, and which was partially upheld. No new formal allegations were received.

	Number of allegations for which an investigation has been undertaken	Number of allegations upheld, fully or in part
Fabrication	0	0
Falsification	0	0
Plagiarism	1 (student)	1 (student)
Misrepresentation	0	0
Breach of duty of care	0	0
Improper dealing with allegations of misconduct	0	0
Other	0	0

18. The institutional lead received informal enquiries related to authorship, ethical approval, and poor academic practice of doctoral students. These provided insights into how to improve training on research integrity and associated policies.

Commitment to Strengthening Research Integrity

19. The University is committed to reviewing policies, procedures and support towards strengthening research integrity, as evidenced in the initiatives already identified in this statement.

20. UKRN local networks lead set up a grassroots initiative – the RIOT Science Club Wolverhampton – to promote Reproducible, Interpretable, Open & Transparent Science. The group provide a seminar series which is available through the OSF Centre for Open Science.

21. The University Ethics Committee takes the lead on research integrity in collaboration with both internal and external stakeholders. In 2020/21, we have completed the UKRIO Self-Assessment tool for the Concordat to Support Research Integrity, and will be implementing the results in 2021/22.

Silke Machold

Dean of Research