

Please note that this Annual Statement has been prepared in accordance with the 2012 UUK Concordat to Support Research Integrity. Future Annual Statements will be prepared in accordance with the new requirements contained in the 2019 Revised UUK Concordat to Support Research Integrity.



## Annual Statement on Research Integrity

November 2019

### Foreword

1. Our vision is to be a world-leading, research-excellent, educationally outstanding university, driven by creativity and curiosity, which fulfils its social, cultural and economic obligations to Cardiff, Wales, the UK, and the world ([The Way Forward, 2018-2023](#)).
2. In research, we wish to be amongst the best UK Universities, generating new knowledge, tools and policies in partnership with business, industry, government and other major stakeholders, facilitated by a vibrant and inclusive research environment. These research outcomes are a vital part of accelerating the contributions that Cardiff University makes to the health, wealth, security and well-being of future generations in Wales, in the UK and globally. Research integrity, ethics and open research is a critical part of this vision.
3. Cardiff University is committed to upholding the principles of the [Universities UK Concordat to Support Research Integrity \(Concordat\)](#) and has robust systems in place to support its researchers to conduct research to the highest professional standards.

### Purpose and context

4. To improve accountability and provide assurances that measures are being taken to support high standards of research integrity, the Concordat recommends that employers of researchers prepare a short annual statement to their governing body, which provides the following:
  - 4.1. A summary of actions and activities undertaken to support and strengthen understanding and application of research integrity issues;
  - 4.2. Assurances that the processes in place for dealing with allegations of misconduct are transparent, robust and fair, and that they continue to be appropriate to the needs of the organisation; and
  - 4.3. A high-level statement on any formal investigations of research misconduct that have been undertaken.
5. This is the University's third Annual Statement on Research Integrity (Annual Statement) and has been prepared for the University's governing body (its 'Council') as recommended by the Concordat. This Annual Statement will be made publicly available on the University's website.

## Period covered by this Annual Statement

6. This Annual Statement summarises the actions and activities undertaken during the 2018/2019 Academic Year to strengthen research integrity. It also provides the required assurances and statements on research misconduct for the same time period.
7. For detailed information about the University's overarching approach and framework for research integrity and research misconduct, please refer to the University's [first Annual Statement](#) published in July 2017.

## Actions and activities (2018/2019)

8. Research integrity has continued to be a key focus area for the University during the 2018/2019 Academic Year, with the introduction of new initiatives designed to strengthen and embed research integrity across the institution. Key activity during this period is set out below.
9. Review of Research Integrity and Governance Code of Practice ('CoP')
  - 9.1. The CoP comprises the University's framework for the responsible conduct of research; it applies to all researchers, in all disciplines. Responsibility for maintaining the CoP and for reviewing its effectiveness lies with the University Research Integrity and Ethics Committee (URIEC) but responsibility for co-ordinating the review is discharged to the University's Research Governance Team (Research and Innovation Services (RIS)). As recommended by the Concordat, the CoP is subject to periodic review to ensure it remains fit for purpose.
  - 9.2. The 2018/2019 review exercise resulted in revisions to the CoP to reflect updated University policies, external professional frameworks, and feedback obtained from the University's Professional Services teams, Research Integrity Leads and URIEC Members and Officers.
  - 9.3. The revisions include (but are not limited to):
    - **Clinical Trial Registries**  
Updates to reflect the University's expectation that Clinical Trials must be registered on an appropriate Clinical Trial registry; that the registry must be maintained; and that results be posted to the registry after the trial is closed.
    - **Conflicts of Interest**  
A significant expansion to the guidance provided to researchers to enable them to better identify and manage conflicts of interest, including a non-exhaustive list of situations where a conflict of interest will or may arise.
    - **Responsible use of metrics**  
The addition of a new section to reflect the University's commitment to the San Francisco Declaration on Research Assessment, namely its commitment to the responsible use of metrics in the assessment of research performance.

## 10. Research Integrity Online Training Programme

10.1. During the 2018/2019 Academic Year, completion of the training has remained mandatory for all new staff joining the University on a Research or Teaching and Research contract and for all new postgraduate research students.

10.2. During the 2018/2019 Academic Year, 1048 staff and student researchers have completed the training programme.

10.3. From the start of the 2019/2020 Academic Year, completion of the training will become mandatory for all academic staff. The decision to expand the group of staff to which completion of the training is mandatory further emphasises the University's commitment to fostering a culture of research integrity across the institution.

## 11. Review of Research Ethics Procedures

11.1. The University undertook a review of its Research Ethics Procedures for research involving human participants, human material or human data.

11.2. The review resulted in the development of a number of revised documents which were approved by URIEC in May 2019, namely:

- Template Procedures for a School Research Ethics Committee (SREC)
- Template Ethics Review Application Proforma
- Template SREC Approval Letter
- Template Participant Information Sheet
- Template Consent Form

11.3. A phased implementation of the revised Ethics Procedures and supporting documentation will commence at the beginning of the 2019/2020 Academic Year.

11.4. In addition to the routine submission of School Annual Reports on research ethics activity, a more detailed monitoring exercise will be conducted to assess the Schools' implementation of the new ethics procedures and whether any examples of best practice have emerged which can be shared between Schools.

## 12. Open Research and Transparency

The University's Open Research Task and Finish Group (ORTFG) was established in late 2018 with a mandate to make recommendations to URIEC. Initial recommendations have been made and ORTFG is developing a detailed action plan to ensure Cardiff University is at the forefront of best practice and actively addressing specific areas of research (e.g. registered reports, registration of Clinical Trials on public registries).

## 13. Image Integrity

The revised Guidance on Image Integrity in Research was approved by URIEC in January 2019 and has been made available to researchers.

14. Responsible use of research metrics

The University's DORA (San Francisco Declaration on Research Assessment) Working Group was established in 2019 with a mandate to support the implementation of strategies and training to enable the principles of DORA to be integrated appropriately into the research environment and culture of the University. The DWG has developed a detailed action plan and will provide regular progress reports to URIEC.

15. External engagement and sharing best practice

15.1. During the 2018/2019 Academic Year, the University has continued to engage with external groups and organisations to share best practice and explore effective governance arrangements for the promotion of research integrity. In particular, the University continues to be an active member of the Russell Group Research Integrity Forum (RGRIF) and provides feedback from RGRIF events to the wider Research Governance Team and URIEC.

15.2. The University continues to subscribe to the UK Research Integrity Office (UKRIO) and attended the 2019 UKRIO Annual Conference.

**Planned activities**

16. In addition to the activities conducted during the 2018/2019 Academic Year, there are several research integrity activities planned for the next Academic Year (for which initial steps have already been taken by RIS and/or URIEC) including:

16.1. Open Research

The University's Open Research action plan will be finalised and implemented. This will include a review of the College and School Research Integrity Lead roles to include responsibility for Open research and responsible use of metrics.

16.2. Security Sensitive Research (SSR)

A review of the University's SSR policy.

16.3. Academic Research Misconduct procedure

The Academic Research Misconduct procedure will be reviewed to ensure it aligns with the updated Concordat to Support Research Integrity and emerging best practice in this area.

**Academic Research Misconduct Procedure (ARM Procedure)**

17. The University takes seriously any allegation of research misconduct and has produced a procedure to deal with such allegations in line with the principles of the Concordat and guidance issued by UKRIO.

18. There are three stages to the ARM Procedure. At each stage the allegation may be dismissed or may proceed to the next stage:

18.1. A Preliminary Stage where the Named Person, in consultation with the PVC and normally within 20 working days, conducts a preliminary review of the allegation.

In order to reach a decision, the Named Person may seek the advice of an internal expert on the seriousness and credibility of the concerns.

- 18.2. A Screening Stage where, normally within 30 working days, a Panel of up to three internal members of staff with relevant expertise and academic standing will conduct a preliminary evaluation of all relevant material relating to the allegation supplied by the Complainant and the Respondent and seek further clarification if required. The Screening Panel will make a confidential written report of its evaluation and decision and shall lodge it with the Named Person.
- 18.3. A Formal Investigation Stage where a Panel is set up, consisting of an impartial, independent Chair and two impartial members with appropriate expertise and seniority. The Chair and at least one of the two members should be external to the University, being neither a person employed by, or contracted to, the University. The internal member should not be a member of staff in the same School as the Respondent.
- 18.4. There is currently a working group set up to revise the ARM Procedure in line with the revised Concordat, which is due to be published in the autumn term 2019. The revised procedure will be submitted to URIEC for agreement.

#### **Statement on formal investigations of Academic Research Misconduct**

19. During the 2018/2019 Academic Year, two allegations/sets of allegations have been received under the University's ARM Procedure. Of these allegations:
  - 19.1. One (set of allegations) was referred for preliminary review and the allegations were dismissed as frivolous, vexatious or malicious or lacking substance
  - 19.2. The other allegation was recommended for a screening panel investigation. The Screening panel concluded that there was no evidence of Academic Research Misconduct

#### **Preparation of this Annual Statement**

20. This Annual Statement was prepared by the University's Research Governance Team, RIS, and the University's Assurance Services Team, Strategic Planning and Governance. A draft of the statement was first presented to URIEC for comment and consideration. The Annual Statement was approved by URIEC on 08 October 2019.
21. The Annual Statement was presented at further meetings of the University for information or debate, including University Executive Board (21 October 2019), Senate (06 November 2019), Audit Committee (13 November 2019) and Governance Committee (14 November 2019), before proceeding to Council for approval on 25 November 2019.

**Professor Kim Graham**  
**Pro Vice-Chancellor for Research, Innovation and Enterprise**  
**November 2019**

## Acronym key

<b>ARM</b>	Academic Research Misconduct
<b>CoP</b>	Research Integrity and Governance Code of Practice
<b>DORA</b>	Declaration on Research Assessment
<b>DWG</b>	DORA Working group
<b>ORTFG</b>	Open Research Task and Finish Group
<b>RGRIF</b>	Russell Group Research Integrity Forum
<b>RIS</b>	Research and Innovation Services
<b>SREC</b>	Schools Research Ethics committee
<b>SSR</b>	Security-sensitive Research
<b>UKRIO</b>	UK Research Integrity Office
<b>URIEC</b>	University Research Integrity and Ethics Committee