



Annual Statement on Research Integrity

November 2025

Foreword

1. Cardiff University's mission is to co-create and share new knowledge, to deliver a better world for future generations (Our Future, together: Our Path to 2035).
2. Research is a core part of our institutional identity, and the University aspires to be amongst the best in generating new knowledge and tools, facilitated by a vibrant and inclusive research environment.
3. In the 2021 Research Excellence Framework ('REF'), 90% of our research was confirmed as world-leading or internationally excellent and we secured our place as a top 20 University in the UK for the overall quality of our research. The University is seeking to enhance its position even further and embraces this challenge within an increasingly competitive international stage.
4. Research Integrity, ethics and open research is a critical part of our vision and the University is fully committed to upholding the principles of the Concordat to Support Research Integrity ('Concordat') and to supporting our researchers to conduct research to the highest standards of integrity.

Purpose and context

5. To improve accountability and provide assurance that measures are being taken to support high standards of Research Integrity, the Concordat requires that all employers of researchers prepare and publish an annual statement on Research Integrity ('Annual Statement'), which provides:
 - 5.1. A summary of actions and activities undertaken to support and strengthen understanding and application of Research Integrity issues;
 - 5.2. Assurances that the processes in place for dealing with allegations of misconduct are transparent, timely, robust and fair, and that they continue to be appropriate to the needs of the organisation;
 - 5.3. A high-level statement on any formal investigations of research misconduct that have been undertaken, including data on the number of investigations;
 - 5.4. A statement on what the University has learned from any formal investigations of research misconduct that have been undertaken, including what lessons have been learned to prevent the same type of incident re-occurring; and

- 5.5. A statement on how the University creates and embeds a research environment in which all staff, researchers and students feel comfortable to report instances of misconduct.
6. This is the University's ninth Annual Statement. Once approved by relevant University groups and committees, the Annual Statement will be made publicly available on our website and a link provided to the Concordat Secretariat. The University's historic Annual Statements remain publicly accessible on our "[Research Integrity and Governance](#)" webpage.

Period covered by this Annual Statement

7. This Annual Statement summarises the actions and activities undertaken during the 2024/2025 Academic Year to strengthen Research Integrity. It also provides the required assurances and statements on research misconduct for the same time period.

Actions and activities (2024/2025 Academic Year)

During the 2024/2025 Academic Year, the University has undertaken a wide range of activities to help support and strengthen Research Integrity. Key activity during this period is summarised below.

8. [Progressing our institutional 'Research Integrity Action Plan'](#)
- 8.1. The Research Integrity Action Plan is the output of a detailed internal review and reflection exercise led by our Research Integrity, Governance and Ethics team ('RIGE'), utilising the [UKRIO Self-Assessment Tool](#).
- 8.2. During the 2024/2025 Academic Year, progress against the Action Plan has been regularly reviewed and reported to our Open Research Integrity and Ethics Committee ('ORIEC').
- 8.3. As at the date of preparing this Annual Statement, the majority of due actions have been achieved (46) or are in progress (5). A number of actions (9) have been identified as 'No further Action Proposed'. This may be due to the action no longer being a priority, an alternative action being undertaken, or the action being addressed through an alternative, more appropriate action plan.
- 8.4. ORIEC is satisfied with the progress made against the Action Plan and that the outstanding actions identified in the Action Plan do not undermine or qualify the assurance provided in this Annual Statement. ORIEC is proud that its staff engage regularly and actively with external stakeholders and are able to adapt to changing priorities and ensure that support is concentrated where it is most needed.
9. [Research Integrity and Governance Code of Practice \('RI CoP'\)](#)
- 9.1. the RI CoP is our institutional framework (policy) for Research Integrity. It applies to everyone involved in research at the University and is designed to promote good research practice throughout the research lifecycle and to

help ensure that staff and students achieve the highest standards of Research Integrity. The RI CoP is subject to a 3-year review cycle, in accordance with the Policy itself and our RI Action Plan. The RI CoP was last reviewed, revised and published in 2023. The next review is due in 2026.

10. Research Integrity Online Training Programme ('RI Training')

10.1. During the 2024/2025 Academic Year, approximately 900 members of staff and 3100 students (inclusive of PGR, PGT and UG students) completed the University's RI Training. As a reminder, completion of our RI Training is mandatory for all Academic Staff (unless exempted¹) and mandatory for all students undertaking Doctoral, MRes or MPhil programmes of study. Completion of the training is also a mandatory component of various other internal research processes and is highly recommended for anyone else involved in research.

10.2. The RI training modules are kept under review and updated when required, based on current best practice and guidance.

11. Research Ethics

11.1. The University has been active in supporting our School Research Ethics Committees ('SRECs') and research community. Below are just some examples of relevant activity during the 2024/2025 Academic Year:

- **Module-wide ethical review process for UG and PGT activity**
Feedback on the first year of the pilot of the module-wide ethical review process 'Module Ethics Framework' showed excellent engagement and areas for improvement. A pilot update was reported to and discussed by ORIEC, and adaptations being considered alongside implementation of the Worktribe Ethics module.
- **Development and implementation of a university-wide online ethics system.**
Research Integrity Governance and Ethics and the Future Research Service have worked together with Worktribe, a sector-leading provider of research management software, and an advisory committee of academics to modify their centralised system for research ethics applications for Cardiff University use. The module is scheduled for implementation during the 2025/2026 academic year. It includes improvements such as the addition of SOPs to smooth the process of ethical review without compromising oversight or ethical standards.

11.2. Alongside the work conducted centrally, a significant amount of work has been conducted locally by SREC Chairs, Members and local support staff

¹ The University has an exemption request process that can be used by Schools to request an exemption for specific staff on T&S contracts who have no involvement in research activity. There is a strict process that needs to be followed by Schools and all exemption requests are reviewed (and if appropriate, approved) by ORIEC.

to help improve the University's existing ethical review systems and to support researchers in achieving the highest ethical standards. Below are just some examples of activity that has taken place locally:

- Collation of feedback/responding to consultation exercises connected to the improvement of the University's ethical review systems.
- Providing volunteers to sit on various University Task and Finish Groups and stakeholder groups connected to the ethical review process.
- Development of local and/or disciplinary guidance on the ethical review process and SREC expectations.
- Information/awareness-raising sessions for staff and students on the ethical review process and common ethical issues arising in the discipline.
- Engagement with teaching and learning colleagues to better understand the type of student projects conducted in the School, the risk associated with such projects and what ethical review options could be implemented locally to appropriately review these projects.
- Creating new application form guidance documents and training to provide helpful tips and advice, as well as share best practice

12. Research Misconduct

12.1 The University's Academic Research Misconduct Policy for Staff is available on the "Academic Research Misconduct" webpage. The Head of Compliance and Risk has identified a Senior Compliance Advisor within the team to support in implementing the ARM procedure (for staff) who has been briefed on the policy/procedure requirements, and had opportunities to work alongside the Head of Compliance and Risk on the implementation of the procedure. This has increased capacity within the team for supporting ARM work. In addition, the Compliance and Risk Team has developed a number of template resources relating to various steps of the ARM procedure.

12.2 In 2025 the Compliance and Risk service took part in a UKRIO working group to help develop training resources for investigations into breaches of research integrity such as allegations of research misconduct.

12.3 The Compliance and Risk service also worked with the Research Integrity, Governance and Ethics team to provide relevant input relating to our policies and procedures for addressing Academic Research Misconduct allegations as part of a Royal Society audit and will consider any recommendations arising from the audit.

13. Clinical Research

13.1. The Cardiff Joint Research Office ('JRO')^[1], continues to develop its processes for supporting University researchers to set up and manage research in NHS organisations. To date, approximately 300 JRO Early Project Meetings have been held with research staff and students from across the University and Cardiff and Vale University Health Board. Early

^[1] A partnership between Cardiff University and Cardiff and Vale University Health Board, launched in September 2021.

Project Meetings help to ensure that researchers are provided with accurate information about grant costings, governance and ethics at an early point in their projects. The JRO's governance committees and reporting structures are now well-established and the JRO is committed to a culture of continuous improvement. The JRO's Quality Management System, joint auditing provision and Risk Register have all become functional in the 2024-25 period. The development of joint University-NHS guidance, policies and procedures is ongoing and this work will continue over the 2025-26 academic year.

13.2. The University's Clinical Trials Unit (CTU)- the Cardiff Centre for Trials Research (CTR), underwent a routine MHRA Good Clinical Practice (GCP) inspection in August 2025. This was the first time the MHRA had inspected the CTR since it was established in 2015. Two MHRA Inspectors attended for a period of five days and the inspection was hosted in the JRO. At the time of preparing the Annual Statement, the CTR was awaiting the Final Inspection Report from the MHRA (expected late Autumn 2025).

13.3. Work to strengthen the University's oversight and stewardship of NHS England (Digital) data has continued throughout the 2024-25 academic year, led by a working group of key stakeholders from across the University. The University submitted its annual NHS England (Digital) Data Security and Protection Toolkit (DSPT) return at the end of June 2025 (outcome: 'Standards Exceeded'). Work will commence from January 2026 on preparing the University's 2025-26 DSPT submission. A cross-University Working Group is operational and further work to support University researchers accessing NHS England (Digital) data assets will continue over the 2025-26 academic year.

13.4. The CTR and all seven Welsh NHS Health Boards have purchased the Florence electronic Trial Master File (eTMF) system and implementation will take place over the 2025-26 period. Transitioning to Florence will remain a priority for the 2025-26 period. Other Clinical Research priorities include: working with the CTR to respond to any findings from the MHRA inspection; strengthening University Sponsor oversight functions and ensuring that both the University and Cardiff and Vale University Health Board are prepared for the implementation of the new UK Clinical Trials Regulations and ICH GCP E6 (R3) (both due to come into legislation from April 2026); participating in national HRA and MHRA pilot programmes to improve the IRAS and trial modification systems and working the University's HTA Team to ensure the new Human Tissue Research Database (HuRD) is utilised to its full potential.

14. Human Tissue Act (HTA) Research and Governance

14.1 In the last 12 months, the University-wide HTA Research Licence has undergone a restructure. Aligning with other Russell Group Universities, all active research must now be exempt from HTA licensing and all retained relevant material must be managed through a biobank. Samples previously held under the HTA Research Licence must a) meet one of the HTA Licence exemption criteria, b) have been transferred a biobank, or c)

have been disposed if no longer needed for research purposes. In a few cases, researchers have been granted temporary access to the HTA Research Licence to complete existing studies providing samples are no longer held under the HTA Research Licence by 01 August 2026. The HTA Research Licence will continue to support biobanks and sample processing services.

14.2 The assurance reporting procedure that commenced in 2024, has been a success and will be utilised for HTA and other research-related regulatory assurance purposes going forward.

14.3 The Register of Tissue Holdings has been fully redeveloped. Renamed the Human Research Database, it now supports activities of both the HTA Compliance Team and Research Governance Team (including administration of the Sponsorship process). This link-up is crucial to ensure robust HTA compliance, particularly following the HTA Research Licence restructure. Following completion of a snag list, the database will be fully launched and embedded into HTA and Research Governance processes and structures.

15. Animal Research and Governance

15.1. Cardiff University is committed to the long-term principles of the “3Rs” in animal research aligned to replacement, reduction and refinement. Several CU researchers presented, submitted posters and contributed to the Annual GW4 3Rs Symposium, hosted this year by the University of Exeter.

15.2. The 2024/2025 Academic Year saw considerable progress made in the improvement project for Biological Services. The aim of this project is to make improvements to facilities and the infrastructure that supports animal research. Namely –

- A tender exercise was completed for crucial equipment to improve the housing conditions for animals on site. The equipment has started to be delivered and commissioned.
- Enabling works are in progress to improve the infrastructure within the most specialised animal facility on site, in order for the equipment to be used to its full potential in maintaining an appropriate and stable environment.
- Several strains are being relocated into this specialised facility via a rederivation programme, due to the improved standard of equipment and environmental conditions.
- A number of feasibility studies have taken place to consider the next phase of the project, which will be a redeveloped or new build breeding and maintenance facility, with smaller satellite facilities for specific research. The University have committed to funding these improvements however plans are still ongoing.
- The University have awarded ~£10M for one such satellite animal facility, which will include a containment level 3 laboratory.

15.3. The 'Named Persons' listed on the procedural establishment licence, under the auspices of the Animals (Scientific Procedures) Act 1986, continue to support good practice together with the regulated community. This year has seen –

- new policies (Animals@Cardiff Policy Review, Drugs Policy for Animal Work plus associated Register of Authorised People)
- guidance issued (3Rs Replacement Checklist, Refinements in Humane Killing)
- a review on the Forced Swim Test
- participation in the Animals in Science Committee's consultation on Non-Technical Summaries and Retrospective Assessments
- trials for new health screening and for study plans

16. Research Culture

16.1 Several activities took place during the 2024/25 academic year to help Cardiff University develop a positive, values-based research culture:

16.1.1 Building on the success of last year's HEFCW-funded Research Culture Fund, 30 grassroots activities and events were funded this academic year to strengthen research culture across the University. The fund had two strands: follow-on projects from 2023–24's 'Getting out of the Silo' theme (community building and collaboration), and new projects addressing either community building or strategic issues identified in the research culture survey. Approximately £85,000 was allocated by Medr to enable these initiatives.

16.1.2 In addition, the fund supported three 'Taking Back Time' half-day writing retreats, offering researchers structured time for focused writing alongside opportunities for collaborative feedback and networking. The fund also supported two research culture activities: the Cardiff University Researcher Community Showcase and a Research Administrators Forum networking event, both of which provided valuable platforms for connection and the sharing of best practice.

16.1.3 Cynnau | Ignite is a leadership development programme for academic, professional services, technical and specialist colleagues in the research community at Cardiff University. Funded by Wellcome, it launched as a pilot programme in 2024-25 to approximately 150 participants across five cohorts. It focuses on enabling people to demonstrate leadership about positive research culture by building participants' skills, knowledge, and community connection. Small spin out projects from the cohorts are still underway as is a formal evaluation, which will report in 2026.

17. Open Research and Transparency

17.1 The University remains committed to the Open Research agenda. The Open Research Operational Group ('OROG') continued to meet during the 2024/2025 academic year. The group has confirmed a change

of alignment towards Research Culture activity and reports to the University's Research Culture Development Group, reflecting that the regulatory aspects of Open Research are addressed elsewhere through other oversight groups.

17.2 OROG has been developing ways in which the University can continue to support the research community in this area.

17.2.1 The University's Open Research Position Statement has been revised by the group and uploaded to the Website. This now incorporates reference to FAIR principles as well as Open Research and Open Access.

17.2.2 The group has facilitated the creation of an accessible platform on the Cardiff University website that collates and signposts resources and information that is already available to the research community and that will improve awareness of the open research support that is available.

17.2.3 The next phase will be to survey our research communities (via our Directors of Research) to understand the needs of our Schools with regard to Open Research. Subsequently, the group will develop an appropriate communication plan and training that embed open research within the research community.

17.3 The University Library Service has undertaken a range of activities this year aimed at strengthening Open Research and the support provided to the research community:

17.3.1 Following a successful two-year pilot, the University's Open Access policy was updated to incorporate Rights Retention, which came into effect on 1st October 2025. Rights Retention is a funder-led initiative which allows authors to retain certain rights over their work, enabling publisher-accepted research articles to be made available without embargo in the institutional repository, ORCA.

17.3.2 A three-month pilot was conducted over summer 2025 with a select number of schools to test the feasibility of a centralised deposit process for new publications. Agreed as part of the Future Research Service, this trialled a workflow whereby the ORCA team were responsible for depositing items instead of school administrators and authors. The pilot was very successful and the team are now planning the rollout of this new process across the university for early 2026.

17.4 After the launch of the new Research Data Repository in July 2024, the team have continued to promote and offer support in using the service, which has been well received by researchers (see 'Data Management' section).

17.5 As part of the Library Look@ series, the Library Service has delivered a number of training sessions throughout the year covering areas of open

research, including 'Research data management', 'Open Access for your publication explained', and 'Databases for research intelligence'. Links have also been made with the forthcoming Graduate School, to ensure that open research and library support is incorporated into future training programmes.

- 17.6 The open research team participated in the planning and delivery of another successful GW4 Open Research Week in March, working with other members of the GW4 Open Research Working Group to organise online events and administer the Open Research Prize.
- 17.7 Negotiations around new deals with the 'Big 5' and other significant publishers have commenced, and the Library Service has been heavily involved in discussions alongside Jisc and the rest of the UK university sector. These negotiations will continue over the coming months.

18 Trusted Research

- 18.1 The University remains committed to the "Trusted Research" agenda. In 2024/2025 it has continued with the considerable progress made during the previous academic year. The Research Integrity and Compliance Officer is coordinating all activities associated with this agenda with support from the Head of RIGE. Examples of relevant activity noted below:

- 18.1.1 Continued engagement with the Russell Group Trusted Research Forum, Higher Education Export Controls Association ('HEECA'), the Research Collaboration Advice Team ('RCAT'), and the National Protective Security Authority (NPSA) to discuss ideas and share best practice.

- 18.1.2 The Research Integrity & Compliance Officer completed a 6-month training HEECA programme in collaboration with Export Control Joint Unit (ECJU). The sessions provided opportunities for peer learning, discussion, and the exchange of practical approaches to managing compliance responsibilities.

- 18.1.3 The newly formed Trusted Research Oversight Group (TROG) has met quarterly in 2024/2025. The PVC chairs the Group International and provides oversight of the Trusted Research Governance Framework at the University

- 18.1.4 Adoption of the Trusted Research Evaluation Framework (TREF) by the University. The TREF is a self-assessment tool designed by the National Protective Security Authority to help Institutions benchmark progress to reach a mature approach to research security.

- 18.1.5 Enhanced Reporting systems have enabled RIGE to report on key aspects of the University's management of the Trusted Research Agenda—such as referral routes, project-specific risk ratings, and engagement patterns with colleagues working in sensitive research areas. These insights complement the risk mapping exercise of

2023 -2024 and support focused communications, allowing RIGE to tailor messaging based on risk and engagement data.

18.1.6 We are continuing to collaborate closely with colleagues across Professional Services where Trusted Research overlaps with their responsibilities. We have started to reflect how our policies and procedures might align to reflect the relevant aspects of the Trusted Research Agenda and how we can start embedding broader research security behaviours into our work.

19 Data management

19.1 The new institutional Research Data Repository (Figshare) is now being regularly used by researchers and has been well received. It was promoted widely over the autumn and winter, with the Research Data Manager delivering presentations at events for individual schools, colleges and university networks about the system and research data management more generally.

19.2 A Compliance and Risk Advisor has been appointed in the University Secretary's Office in January 2025 to provide dedicated records management support and advice across the institution (role of Records Manager and Archivist previously based in ULS). The Advisor has already met with several colleagues and teams in different departments within the Research Service to provide both general and bespoke advice on storage and retention and has revised the documentation and content for the Managing Research Data workshop.

19.3 The Compliance and Risk team have been active members of the recently created AI Community. This has led to researchers influencing a key change in the Information Classification and Handling Policy. This change now enabled the use of generative AI systems with classified data where the AI systems meet certain criteria e.g. a Data Processing Agreement.

19.4 Our Data Protection and Records Management policies have recently been reviewed. The Data Protection policy has revised content to reflect everyone role in handling personal data in a compliant manner and also, we have clarified definitions of terms such as "data" in response to feedback from Ethics Committees. The Records Management Policy changes reflect the principles we adopted through the Better Ways of Working programme and aim to clarify roles and responsibilities.

20 External engagement and sharing best practice

20.1 The University has continued to engage with external groups and organisations to share best practice, explore effective governance arrangements and initiatives for the promotion of Research Integrity and to collectively influence policy and practice. In particular, the University continues to be an active member of UKRIO and the Russell Group

Research Integrity Forum, as well as topic-specific groups such as the Russell Group Trusted Research Forum, UKRN, HEECA and the Association of University Sponsors.

Planned activities

21 Alongside the various activities already referenced in this Annual Statement as commencing or concluding during the next Academic Year, our Research Integrity focus and attention during the 2024/2025 Academic Year will be concentrated on progressing the actions contained in our Research Integrity Action Plan and advancing the following areas of work in particular:

- Research Ethics – continuing to support risk-proportionate review channels for UG and PGT activity, the implementation Worktribe Ethics Module, alongside a risk-proportionate ethical review policy and procedure.
- Release of the “Bitesize Ethics for Researchers” webinar series, which provides actionable ethical advice to researchers, onto its own YouTube channel.
- Trusted Research - further development of the University’s systems and tools to support researchers and to help ensure responsible practice in this area.

Dealing with allegations of Research Misconduct

22 The University is committed to ensuring that its processes for dealing with allegations of research misconduct are transparent, timely, robust, fair, and appropriate to the University’s needs.

Allegations against Cardiff University staff

23 The University takes all allegations of Academic Research Misconduct seriously and has a dedicated procedure to deal with such allegations. The University’s Academic Research Misconduct Policy and Procedure (‘ARM Procedure’), together with a named contact, is publicly available on the University’s website.

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

24.1 Stage 1 - A Preliminary Stage where the Named Person (or delegate) will review the allegation(s) to determine whether they fall within the scope of the University to address and, if so, what would be the most appropriate process to investigate or otherwise address them, with reference to the following criteria:

- a) Whether the Respondent (or Respondents) is conducting research under the auspices of the University, whether solely or in conjunction with others in the University or other bodies or in conjunction with other bodies;

- b) Whether the research project(s) to which the allegation relates are being conducted under the auspices of the University, whether solely or in conjunction with other bodies; and
- c) Whether the allegation(s) fall within the definition of Academic Research Misconduct described in the definition section of the Policy.

In carrying out the above review, the Named Person shall assess the evidence provided and any additional information they require.

On conclusion of the review, the Named Person will record the outcome of the review and whether allegations are: dismissed; warrant referral directly to another formal process (internal or external); are minor in nature and can be addressed via a non-disciplinary approach (e.g. training) or meet the definition of an allegation of academic research misconduct and will advance to the screening panel stage.

- 24.2 Stage 2 - A Screening Stage where a Panel of internal members of staff with relevant expertise and academic standing will conduct an evaluation of all relevant material relating to the allegation supplied by the Complainant(s) and Respondent(s). The decisions and recommendations of the panel will be recorded and will determine if a formal investigation is required.
- 24.3 Stage 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.

Allegations against students

- 25 The University takes all allegations of student misconduct during, or relating to, research seriously and has a range of policies and procedures to deal with such allegations. The exact policy and procedure to be applied will depend on the nature of the allegation/the alleged conduct and the level of programme on which the student is enrolled. The most relevant student misconduct policy in this specific context is the University's Academic Integrity Policy, and related Academic Misconduct Procedures. These are all contained within the University's Academic Regulations which are publicly available on the University's [website](#).
- 26 The University's Academic Integrity Policy sets out the overarching principles of what constitutes Academic Misconduct at Cardiff University, including a definition of 'Academic Misconduct in Research' which is aligned to the misconduct categories contained in the Concordat. The policy confirms that a relevant Academic Misconduct Procedure will be applied to any student alleged to have engaged in such conduct. The relevant procedures referred to are the University's Academic Misconduct Procedure (Research Degrees) and the University's Academic Misconduct Procedure (Taught Students).

27 The University's Academic Misconduct Procedures contain a fair and clear process for considering and investigating Academic Misconduct concerns. In respect of the Academic Misconduct Procedure (Research Degrees) in particular, there are three stages to the procedure as follows:

27.1 Stage 1 (Preliminary Review) - the Director of Postgraduate Research or the Chair of the Awards and Progress Committee (or an appropriate nominee), as applicable, conduct an initial review of the concerns. Depending on when the concerns were raised, the outcome of the Preliminary Review could be to dismiss the concerns, take remedial action or refer the concerns for a Stage 2 investigation.

27.2 Stage 2 (Formal Investigation) - the Head of School appoints a senior member of the school's academic staff to act as an Investigating Officer and to consider the concerns, meet with the relevant parties and produce a report. The Head of School considers the report and all available evidence and determines, on the balance of probabilities, whether Academic Misconduct has occurred. The Head of School may dismiss the concerns if they are unfounded or if there is insufficient evidence that Academic Misconduct has taken place, or they can determine that, on the balance of probabilities, Academic Misconduct has occurred. If it is determined that Academic Misconduct has occurred, the Head of School can refer the case to a Stage 3 Academic Integrity Panel or can determine that, due to the level of seriousness and/or other relevant circumstances, the case does not warrant referral to Stage 3 and that specific remedial action can be taken instead.

27.3 Stage 3 (Academic Integrity Panel) - an Academic Integrity Panel is convened, comprising 3 members of academic staff from outside the School, to consider the case. The panel can dismiss the concerns or determine that, on the balance of probabilities, Academic Misconduct has occurred. If the panel determines that Academic Misconduct has occurred, it can impose one or more of a set of listed actions and sanctions which includes, by way of examples, a written apology, thesis amendment and other formal reprimands including exclusion from the University.

28 The University has a central Student Cases Team that has the following role in relation to Academic Misconduct cases:

28.1 To advise Schools on the steps required under the procedures;

28.2 To convene a panel, and support the panel process (where the earlier investigation determined that a panel was required); and

28.3 To record the outcome of an investigation whatever the outcome (including dismissal of concerns).

Statement on investigations of Research Misconduct

29 During the 2024/2025 Academic Year, seven (7) allegations/sets of allegations were received under the University's ARM Procedure (ARM 24.09 & ARM24.10 and ARM25.01 – ARM 25.05). The decisions in these cases were as follows:

29.1 ARM 24.09 - Allegations of research misconduct were upheld at screening panel stage on the grounds of

- Failure to meet legal, ethical, and professional requirements
- Misrepresentation of data

Appropriate actions were recommended by the panel and implemented by the University to address the issues raised including reporting the license issue to the Home Office for consideration, informing the respondent's current employer of the allegation and outcome and taking corrective actions regarding the research papers involved.

29.2 ARM 24.10 – Allegation investigated by a partner University (current employer of the respondent) with Cardiff University nominating a panel member for the investigation. The allegation of plagiarism was not upheld by the investigation panel.

29.3 ARM 25.01 – Allegations of misconduct relating to Falsification, Misrepresentation of Data, Improper Dealing with Allegations of Misconduct and Failure to meet legal, ethical and professional requirements were not upheld by the Screening Panel. The panel made a recommendation relating to providing an explanation of variables in data for future publications.

29.4 ARM 25.02 – A preliminary review concluded that there was insufficient evidence to substantiate an allegation of misrepresentation relating to contribution (authorship) of a manuscript.

29.5 ARM 25.03 – Allegation of misrepresentation of affiliation. A preliminary review concluded that this does not currently fall within the scope of the Cardiff University ARM Procedure, however action has been recommended to seek to correct any incorrect information. This case is ongoing until Cardiff University is satisfied that the relevant actions are being taken.

29.6 ARM 25.04 – Allegations of problematic data in publications. The preliminary review is currently ongoing.

29.7 ARM 25.05 – Allegations of problematic data in a publication. The preliminary review is currently ongoing.

30 During the 2023/2024 Academic Year, there was one report of alleged Academic Misconduct in Research by PGR students. The outcome in this case was as follows:

30.1 Concerns were identified by the examiners the day before the viva examination was to take place: similarities with another PhD thesis at another university (confined to one chapter). The examiners and viva chair agreed to go ahead with the viva, given its proximity. Evidence was subsequently provided by the examiners and a Stage 2 investigation took place after the viva as per the Academic Misconduct Procedure for Research Students. This found that academic misconduct

has taken place, but the matter did not warrant referral to a Stage 3 Academic Integrity Panel. The student has been required to resubmit their thesis within 12 months for re-examination; during this period, the student is required to undertake further training in academic and research integrity, and will be supported by their supervisor.

30.2

- 31 During the 2024/2025 Academic Year, there were no (0) Academic Misconduct in Research investigations concerning UG/PGT students that reached an Academic Integrity Panel.

What has the University learned from the investigations?

- 32 The following lessons have been learnt from the ARM investigations carried out during the 2024/2025 Academic Year:

- 32.1 That authorship remains the most frequent complaint under the Academic Research Misconduct (Staff) Policy.
- 32.2 That when working with partner organisations it is useful to agree clear roles and responsibilities of each organisation, including ensuring that the relevant organisation takes responsibility for providing welfare support to individuals.
- 32.3 That reporting requirements need to be considered at each stage of the procedure, including consideration of regulator and serious incident reporting requirements (this requirement is incorporated into the ARM Policy and Procedure).
- 32.4 That any amendments to data presented in papers, including removal of variable data sets, should include an explanation to avoid misrepresentation concerns.

Creating and embedding a research environment in which all staff, researchers and students feel comfortable to report instances of misconduct

- 33 The University is committed to fostering an environment in which all its staff and students are able to report misconduct and feel supported through this process. The University has several mechanisms and enablers for this including:

- The availability of advice and support from central University teams/contacts on a range of topics and themes including research integrity, research ethics, research culture, responsible research assessment and whistleblowing.
- A named point of contact for ARM allegations.
- A network of School Research Integrity Leads and Ethics Officers (local points of contact).
- The University's Research Integrity Training which contains dedicated content on research misconduct reporting and signposts internal support and the availability of UKRIO as a source of external, independent advice.
- The delivery of bespoke research integrity and/or research misconduct training sessions to Schools where required or requested.

Preparation of this Annual Statement

- 34 Preparation of this Annual Statement was co-ordinated by RIGE. A draft of this statement was approved by ORIEC on 24 October 2025.
- 35 The Annual Statement was also approved by Senate on 12 November 2025 and noted by Council on 26 November 2025.

Questions on this Annual Statement

- 36 Any queries regarding the content of this Annual Statement should be addressed to the University's Research Integrity, Governance and Ethics team (resgov@cardiff.ac.uk).

Professor Roger Whitaker

Pro Vice-Chancellor for Research, Innovation and Enterprise

November 2025

Acronym key

ARM	Academic Research Misconduct
ASPA	Animal (Scientific Procedures) Act 1986
CRedit	Contributor Roles Taxonomy
DORA	Declaration on Research Assessment
GW4	Great Western 4/GW4 Alliance
HEECA	Higher Education Export Controls Association
HEFCW	Higher Education Funding Council for Wales
HTA	Human Tissue Act 2004
JRGG	Joint Research Governance Group
JRO	Joint Research Office
MRes	Master of Research
MPhil	Master of Philosophy
ORCA	Online Research @ Cardiff University (our institutional repository)
ORIEC	Open Research Integrity and Ethics Committee
OROG	Open Research Operational Group
PGT	Postgraduate Taught
PREPARE	Planning Research and Experimental Procedures on Animals@ Recommendations for Excellence.
PVC	Pro Vice-Chancellor
RCAT	Research Collaboration Advice Team
REF	Research Excellence Framework
RI	Research Integrity
RI CoP	Research Integrity and Governance Code of Practice
RIGE	Research Integrity, Governance and Ethics Team
RTS	Recast Transforming Services
SOP	Standard Operating Procedure
SREC	Schools Research Ethics Committee
UEB	University Executive Board
UG	Undergraduate
UK CORI	UK Committee on Research Integrity
UKRI	UK Research and Innovation
UKRIO	UK Research Integrity Office
UKRN	UK Reproducibility Network
WISERD	Wales Institute of Social and Economic Research and Data