University of Glasgow Annual Research Integrity Statement 2021-2022

The Concordat to Support Research Integrity sets out five fundamental commitments to support good research practice and a healthy research culture. Commitment 5 requires employers of researchers to produce a short annual statement setting out what work they have undertaken to support research integrity, as well as policies/processes and actions to address any concerns about research conducted under their auspices. This year we have used the draft template, produced by the UK Research Integrity Office on behalf of the Research Integrity Concordat Signatories Group.

Name of institution: University of Glasgow
Period under review: Aug 2021-Jul 2022

Date approved by governing body: 03/11/22	**Date made publicly available:** 09/11/22

Web address of statement: University of Glasgow - MyGlasgow - Research and Innovation Services - Research Policies - Research integrity - About
Web address of institutional research integrity page: **https://www.gla.ac.uk/myglasgow/ris/researchpolicies/researchintegrity/**
Named contact points for: • **Questions/ information on research integrity:** Allison Jackson (allison.jackson@glasgow.ac.uk) • **Concerns about research integrity/ research misconduct:** Martin Hendry (research-integrity@glasgow.ac.uk)
Date statement sent to Concordat Signatories via RIsecretariat@universitiesuk.ac.uk: 09/11/22

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ANNUAL RESEARCH INTEGRITY STATEMENT

1. Summary of actions and activities that have been undertaken to support research integrity:

For 2021-2022, our Named Person was Jill Morrison, Clerk of Senate (contact at research-integrity@glasgow.ac.uk). This was displayed on our website (Professor Morrison has since retired and her successor – Martin Hendry - is now named).

The institution's expectations for research integrity are articulated in our Code of Good Practice in Research (updated version expected Autumn 2022). We also have our network of Research Integrity Champions and Advisers which provides local support and guidance for researchers, backed up by our central team who provide an additional point of contact for concerns and support. We have expanded our provision for governance and research integrity, with the creation of a new Governance, Policy and Integrity portfolio in our Research Services directorate. This brings together existing staff resource (Research Integrity Officer and Research Integrity Specialist) under a new manager, with additional posts forthcoming to support areas such as Trusted Research, Export Controls, National Securities and Investment Act and other governance areas. The Head of this portfolio is also the University's responsible person for Trusted Research. This commitment of resource will enable us to develop and extend our support, communications and training on these areas. Our @UofGIntegrity Twitter account continued to build its influence, with 592 followers, both internal and external.

The period of review spans the creation and conclusion of our latest Research Integrity internal review. A dedicated fixed term post was created to undertake a fresh review, building on the earlier iteration in 2014. This involved input from staff and students from across the institution. Findings and recommendations were presented to our Research Policy & Strategy Committee in April 2022 and an Action Plan is being implemented to take forward the recommendations which included actions for Leadership and Governance, Communications, Risk and Misconduct, Ethics and Training. We shared a post on the process on our blog.

The Glasgow Centre for International Development (GCID) explored the challenges of the Ethics of International Research: this involved focus groups with experienced researchers and the co-creation of a resource on their website (cited by UKCDR in their new guidance on equitable partnerships). Our College of Arts has also developed a statement on Oral Consent/3rd Party Fieldwork, drawing on the experiences and concerns of researchers who work with participants who may prefer to give their consent orally, rather than in writing.

We celebrated the second year of our new online format for our PGR Research Integrity training which was launched during the pandemic. This featured postdocs and staff as facilitators for discussion webinars to discuss the issues raised in the online course. 847 PGRs completed our training in 2021-2022. We are anticipating changing the format again, going forwards, in light of the evolving situation on campus and expanding our provision beyond the mandatory cohort. Also in 2022, we piloted a new

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"Thesis Mentoring" programme which sought to both support our PGRs in writing their thesis and develop the supervisory skills of participating ECRs.

In 2021 we launched a new Supervisor Community of Practice. As part of this, we included an event on Research Integrity as part of a workshop series. The overview of the session was made available on our blog and we presented on this topic at the UKRIO Annual Conference 2022. Our online staff Research Integrity training also continued with 420 staff completing in 2021-2022. The training is mandatory for new researchers, supervisors and staff on our Early Career Development Programme.

133 people were recognised in a new internal "People Make Research" campaign which encouraged our Postgraduate Researchers and Research Staff to recognise and thank the people who contribute positively to our thriving research environment. Our commitment to Research Culture has developed further in this period, with the establishment of a new portfolio in Research Services, Research Culture and Researcher Development, and provision of new roles: a portfolio Head, a Researcher Development and Research Culture Manager and a supporting post, overarching an expanded provision within our Researcher Development team. A new blog was launched to share our work with each other and the sector. Our support for our researchers' development was further resourced through the creation of a new Talent Lab programme and resource for a new post to support this.

2. Statement on processes that the institution has in place for dealing with allegations of misconduct:

The main policy for investigating allegations of research misconduct is the "Code of Policy and Procedures for Investigating Allegations of Misconduct in Research" . This code sets out areas that help can be obtained from.

We have a network of Integrity Champions and Advisers. Each School has a Research Integrity Adviser who can take initial complaints regarding misconduct. Each of our four Colleges also has a Research Integrity Champion who can take initial complaints directly or help resolve complaints with the Research Integrity Adviser. If informal resolution is not viable then either the Research Integrity Champion or the Research Integrity Advisor can escalate the complaint to the central Research Integrity Team.

The Research Integrity Team can also take complaints directly if the complainant does not feel it's appropriate to discuss with their School Research Integrity Adviser or College Research Integrity Champion.

The Central Research Integrity Adviser for misconduct along with the Named Person will invoke the "Code of Policy and Procedures for Investigating Allegations of Misconduct in Research" . and follow the process through the policy until completion.

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3. High-level statement on any formal investigations of research misconduct that have been undertaken: please complete the three nested tables below.

Please note:

- a 'formal investigation' refers to any use of an institution's formal process for the investigation of allegations of research misconduct or equivalent (such as processes for allegations involving postgraduate research students)
- it does **not** refer solely to the 'full investigation/ formal investigation/ formal hearing' stage of such a process; instead, it covers any use of any stag(es) of the institution's formal process for the investigation of allegations of research misconduct.

Allegations during the period under review	Number
Allegations received during the period under review	9
Allegations received during previous year/s that are concluded during the period under review	3
Allegations undergoing initial investigation/screening	9
Allegations undergoing full investigation	4
Allegations upheld in full after full investigation	3
Allegations upheld in part after full investigation	1
Allegations dismissed after full investigation	0
Allegations still under investigation at time of writing (whether received during the period under review or during previous years)	0

Breakdown of allegations received by subject/ discipline	Number
Health and biomedicine	8
Physical sciences and engineering	1
Social sciences	2
Mathematics	0
Computer sciences	0
Law	0
Arts and humanities	1
Multiple disciplines (when involved in a single allegation)	0
Unknown at time of writing	0

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Breakdown of allegations by type *(see Commitment 4, Concordat to Support Research Integrity)*	Number
Fabrication	3
Falsification	4
Plagiarism	4
Failure to meet legal, ethical and professional obligations	0
Misrepresentation (e.g., of data; involvement; interests; qualification; and/or publication history)	0
Improper dealing with allegations of misconduct	0
Multiple areas of concern (when received in a single allegation)	0
Unknown at time of writing	0
Other	1

[If you listed any allegations under the 'Other' category, please give a brief, high-level summary of their type here. Do not give any identifying or confidential information when responding.]

The allegation concerned authorship and involved an international institution.

4. Lessons learned from any formal investigations of research misconduct that have been undertaken:

Following a review of misconduct allegations which have involved PGRs, we reviewed our Misconduct procedure to clarify that cases involving the thesis or submitted work (rather than publications) would normally be handled under the Student Code of Conduct, to avoid duplication of effort and prolonged stress for allegations that were upheld.

The time allocated for Pre-screening and screening stage of investigation was also lengthened in the policy to accommodate recruitment time of panel members and set more realistic expectations. Difficulties in recruiting external panel members were fed back to UKRIO. As a result of the pandemic and its effect on staffing, we have reviewed and streamlined our confidential case management system and ensured that there is dedicated, experienced staff resource to cover the absence of our Research Integrity Officer.

This year highlighted the need for further authorship resources and dissemination /communication strategies for these. We also are developing our resources for PGRs on plagiarism and acknowledging the alarming growth in contract cheating in the sector.

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5. Statement on how the institution creates and embeds a research environment in which all staff, researchers and students feel comfortable to report instances of misconduct:

For 2021-2022, our Named Person was Jill Morrison, Clerk of Senate (contact at research-integrity@glasgow.ac.uk). This was displayed on our website . Professor Jill Morrison was the named contact point for raising concerns about Research Integrity. Professor Morrison retired at the end of July 2022 and her successor is now Professor Martin Hendry.

The main policy for investigating allegations of research misconduct is the "Code of Policy and Procedures for Investigating Allegations of Misconduct in Research" .
The University also have the following policies in place for dealing with other misconduct allegations:

- Students – (UG/PGT/PGR) – Code of Student Conduct
- Bullying and Harassment – Dignity at Work & Study Policy & Procedure
- Whistleblowing – Code on Public Interest Disclosure

There is also a confidential email box research-integrity@glasgow.ac.uk accessed by only two members of the Integrity Team.

People can also call a confidential line currently operated by the Research Integrity Adviser 0141 330 3721.

We also have a supportive network of Integrity Champions and Advisers situated in Schools and Colleges who are a first point of contact for anyone wishing to discuss a misconduct issues.

In any Research Integrity training or communications, we emphasise that staff, researchers and students are encouraged to consult with whoever they feel is most appropriate from those options, based on their personal situation. We emphasise that they will be supported and can expect confidentiality whatever they decide.

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6. Information on periodic review of research misconduct processes: …

Date when processes last reviewed; any major changes during the period under review; date when processes will next be reviewed.

Contact details for queries:	Amanda McKenna	Amanda.mcKenna@glasgow.ac.uk

Version control: Version 9.0 is currently out for approval. It was revised on the 5th September 2022. Noted changes are below and it will be submitted to the Concordat Signatories (RIsecretariat@universitiesuk.ac.uk) after institutional approval.

Changes to the Research Misconduct Policy:

- Section update – Section 2.3 now includes a list of relevant policies that researchers should be familiar with and adhere to.
- New Section – Section 3.1 now differentiates between research misconduct and bullying and harassment and refers to the Dignity at Work and Study Policy[1].
- Section Update – Section 5.4 is now knows as the receipt of allegation stage instead of the pre-screening stage to bring the language in line with UKRIO misconduct policy.[2]
- Section Update – Section 5.5 is now known as the initial investigation stage instead of the screening stage.
- Section Update – Section 5.6 is now known as the full investigation stage instead of the formal investigation stage.
- Each stage of investigation now has a clearly defined section on possible outcomes that can be reached at each stage.
- New Section – Section 6 Introduction of an appeals process to comply with the UUK Concordat to Support Research Integrity[3]
- Flowchart at section 11 has been made simpler
- Reference to "Institutes" has been removed from the policy throughout.

[1] Dignity at Work and Study Policy and Procedure

[2] UKRIO procedure for the investigation of misconduct in research

[3] UUK Concordat to Support Research Integrity