

This Report was received by the Council of the University of East Anglia on 25<sup>th</sup> November 2019.

## Annual Research Integrity Report 2018/19

### Summary

This statement is produced annually for the University Research Executive to consider and is presented thereafter to the University's Senate and Council to approve. The report provides a summary of activities and issues relating to the support and implementation of research integrity, and processes relating to allegations of misconduct in research in the period 1<sup>st</sup> August 2018 to 31<sup>st</sup> July 2019. This Summary will be made available to the public on the University's Research Integrity [webpages](#) once approved.

As this Summary has been written as a stand-alone document, it contains text which is repeated from the previous year where it covers the University's Research Integrity Statement, governance structure and procedures.

The University is fully committed to ensuring that all research undertaken by staff and students is carried out to the highest professional standards of research integrity, and that all researchers uphold the principles set out in the Universities UK [Concordat to Support Research Integrity](#). The term 'Research Integrity' has been adopted internationally to describe "the core principles and responsibilities that should be common to all good research".<sup>1</sup>

Responsibility for maintaining the highest standards of research integrity at the University rests with the Pro-Vice-Chancellor for Research and Innovation (PVC R&I). The PVC R&I may be contacted using the email address [fiona.lettice@uea.ac.uk](mailto:fiona.lettice@uea.ac.uk). The University's Research and Innovation Services (RIN) support the PVC R&I and have a Research Integrity Manager who manages RIN's responsibilities in this area including promoting the culture of research integrity within the University. RIN is also the first point of contact for any queries on the relevant policies or process to follow and can be contacted using the email address [researchintegrity@uea.ac.uk](mailto:researchintegrity@uea.ac.uk). RIN also has formal nominated representatives who act as legal representatives (under the Health Research Authority's (HRA) Sponsor requirements) for all NHS-related studies in accordance with the HRA's [UK Policy Framework for Health and Social Care Research](#) (HRA Framework). RIN further advises on ethical, legal and regulatory requirements, and on behalf of the University submits annually an Insurance Assurance and Annual Report to the Office of Research Integrity (ORI) to renew its research misconduct assurance. In doing so, the University remains eligible to apply for or receive PHS research funds.

The University has an overarching committee, the University Research Ethics Committee (UREC), to define the University's Research Ethics Policy and operational principles. It also has oversight of the University's Research Ethics Subcommittees (S-RECs). UREC is led by a Chair appointed by the PVC

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<sup>1</sup> Universities UK, 'The Concordat to Support Research Integrity'. Available at: <https://www.universitiesuk.ac.uk/policy-and-analysis/reports/Documents/2012/the-concordat-to-support-research-integrity.pdf>

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R&I, and is constituted from the S-REC Chairs, a lay member and co-opted experts. UREC is a joint Committee of the University's Senate and Council.

The S-RECs provide ethics reviews of student and staff research projects and teaching modules. They also undertake ethics reviews of internally-funded impact activities in support of the University's stance that ethics issues should be considered throughout the lifecycle of a project. Occasionally, ethics reviews are undertaken by the S-RECs for academics in the Norwich Biosciences Institutes to facilitate efficient operations across the Norwich Research Park. During the reporting period, a total of 1430 proposals were submitted for review by the University's S-RECs of which 1357 were given ethical clearance. In addition, UREC reviewed 86 proposals for market research/research for internal evaluations submitted by the University's Central Services and the Students' Union; 83 of these proposals were approved.

To ensure that the University maintains its high ethical standards, the creation of two new S-RECs has been approved by the University's Research Executive, in addition to the University's Executive team approving the procurement and implementation of an online system to support the ethical review of projects (including research, impact activities, and market research/research for internal evaluations) undertaken at the University.

Alongside UREC, the University with the Norfolk and Norwich University Hospital (NNUH) Trust operate a Joint Research Governance Committee and Joint Research Governance Operations Group overseeing healthcare research within the NNUH Trust and the UEA, under the HRA Framework. The NNUH's revised [Sponsorship Policy](#) came into effect on 1<sup>st</sup> April 2019.

Governance arrangements in support of research at the University include a number of research integrity policies and guidelines, which are available on the University's Research Integrity [webpages](#):

- *Guidelines on Good Practice in Research*
- *Research Ethics Policy* (supplemented with *Ethics Guidance Notes* covering a range of topics)
- *Ethics Review Appeal Procedures*
- *Policy for Approving the Integrity of UEA Research and Innovation Related Activities and Funding*
- *Procedures for Dealing with Allegations of Misconduct in Research*
- *Joint NNUH/UEA Standard Operating Procedures* (for healthcare research)
- *Open Access Policy*
- *Research Data Management Policy*
- *Research Data Management Procedures and Guidance*
- *Insurance Policies*
- *Intellectual Property Regulations*
- *Public Interest (Whistleblowing) Policy*

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The University is also required to comply with UK legislation relating to research, as well as Concordats and codes of practice issued by funding bodies and collaborating organisations. The University has a longstanding subscription to the UK Research Integrity Office (UKRIO).

The University has a rolling programme of reviews for its research integrity policies and guidelines. During 2018/19, scheduled reviews of the following policies and guidelines were undertaken:

- *Guidelines on Good Practice in Research*
- *Open Access Policy*
- *Research Data Management Policy*

Good data management is a fundamental aspect of the research process, and in light of the recent [Concordat on Open Research Data](#), the University is committed to making research data gathered and generated by its academic staff openly available for use by others in the UK research community wherever possible.

In 2018/19, the University's *Procedures for Dealing with Allegations of Misconduct in Research* were updated to reflect changes to the *General Regulations for Students* together with the [Procedures for Investigating Allegations of Research Misconduct Made Against Students](#).

The University's *Procedures for Dealing with Allegations of Misconduct in Research*, outline the actions to be taken when any allegation of misconduct in research is brought against any present or past member of staff of the University in respect of research undertaken while employed by the University and/or while registered as a student at the University. Any allegations of misconduct in research against a present or past student while registered by the University are handled using the *Procedures for Investigating Allegations of Research Misconduct Made Against Students*. During 2018/19, there was one allegation concerning a member of staff and no allegations concerning students.

Further to UEA's response last year to the House of Commons Science and Technology Committee's inquiry into research integrity, the University provided comments to Universities UK on the draft revised *Concordat to Support Research Integrity*, which was originally published in 2012. The Concordat has been revised to meet the recommendations of the Committee following the inquiry in 2018. The publication of the updated Concordat is expected later this year.

Professor Fiona Lettice  
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15<sup>th</sup> October 2019