Template: annual statement on research integrity

If you have any questions about this template, please contact: RIsecretariat@universitiesuk.ac.uk.

Section 1: Key contact information

Question	Response
1A. Name of organisation	University of Strathclyde
1B. Type of organisation: **higher education institution/industry/independent research performing organisation/other (please state)**	Higher education institution
1C. Date statement approved by governing body (DD/MM/YY)	01/12/23
1D. Web address of organisation's research integrity page (if applicable)	https://www.strath.ac.uk/research/integrity/
1E. Named senior member of staff to oversee research integrity	Name: Tim Bedford
	Email address: tim.bedford@strath.ac.uk
1F. Named member of staff who will act as a first point of contact for anyone wanting more information on matters of research integrity	Name: Helen Young
	Email address: research-integrity@strath.ac.uk

Section 2: Promoting high standards of research integrity and positive research culture. Description of actions and activities undertaken

2A. Description of current systems and culture

Policies and systems

Policies

Strathclyde maintains a range of policies and procedures to promote and monitor good practice and ethical conduct in its research. Central to these is an overarching Research Code of Practice which provides a definition of research and outlines the expectations placed on the University and its staff and students in meeting standards of good research practice. It also signposts researchers to a comprehensive list of academic policies and procedures, including the following key research policies and guidelines:

- Code of Practice for Postgraduate Research Students;
- Research Data Management and Sharing Policy;
- Code of Practice on Investigations Involving Human Beings;
- Policy on Animal Research (in accordance with the Concordat on Openness).

In recognition that a positive research culture is required to enable researchers to follow best practice in research, Strathclyde has several policies and initiatives to support this, including:

- Dignity and Respect Policy;
- Safe360 Safeguarding Policy;
- Strathclyde Community Commitment;
- Strathclyde Pledge'
- Non-disclosure Agreement Pledge.

Governance systems

The University Research & Knowledge Exchange Committee (RKEC), a strategic committee within Strathclyde's governance structure with reporting responsibilities to University Senate, is responsible for oversight of research and knowledge exchange strategy and policy, and the monitoring of their implementation. Key to this is ensuring that Strathclyde's commitments as signatory to The Concordat to Support Research Integrity are met. Accordingly, the principles of research integrity are supported across all domains by the following bodies with oversight from RKEC:

- University Ethics Committee (UEC);
- Animal Welfare Ethical Review Board (AWERB);
- Research Development and Culture Sub-Committee (RDCSC);

- Researcher Development Concordat Steering Group (RDCSG);
- Knowledge Exchange Sub-Committee (KESC);
- Research Sub-Committee (RSC);
- Open Research Group (ORG).

RKEC also has ultimate responsibility for the Concordat to Support the Career Development of Researchers (also termed 'Researcher Development Concordat'), which is a key mechanism for enhancing research culture at Strathclyde. Moreover, the Research Development and Culture Sub-Committee also provides strategic oversight on research culture and researcher development topics, and is developing and piloting a set of key performance indicators to monitor and drive improvements in these areas.

The Strathclyde Doctoral School (SDS), which is governed by a dedicated management board, contributes to the promotion of research integrity and a positive research culture through its work to enrich the postgraduate researcher (PGR) experience, intensify research outputs and opportunities, and ensure development is designed and delivered at the highest levels.

Support systems

The Research Policy and Information Team located in the Research and Knowledge Exchange Services (RKES) directorate is responsible for implementation of the Research Integrity Concordat and is therefore a core part of support systems for research integrity. Their remit includes: maintaining and advising on the Research Code of Practice (which includes the research misconduct process); providing secretariat support for RKEC, UEC and ORG; supporting the Associate Principal to implement the research misconduct process; and preparing the annual Research Integrity Statement in accordance with the Concordat. The Head of Research Policy and Information, Dr Helen Young, acts as the first point of contact for research integrity queries via the dedicated research-integrity@strath.ac.uk mailbox. The Research Policy and Information Team also maintains external and internal webpages related to research integrity, with resources to support researchers to understand the standards, values and behaviours associated with research integrity. This includes a recently developed Guide to Good Research Practice, which mirrors the Strathclyde Research Code of Practice with additional guidance on best practice and signposting to further guidance and support.

Moreover, Strathclyde provides dedicated support in several areas to assist researchers in the fulfilment of their research responsibilities. Colleagues from across Professional Services provide specialist advice on topics with research integrity implications such as:

- Information Governance including GDPR;
- Ethics in Human and Animal Research;
- Records Management;
- Research Data Management and Sharing;

- Open Access and Open Data;
- Responsible Research and Innovation;
- Cyber security;
- Dignity and Respect.

This provision is often delivered via cross-disciplinary/departmental groups involving specialists from the Information Governance Unit, Strategy & Planning, Information Services, Human Resources and RKES, working with academics wherever appropriate.

Communications and engagement

Internal communications and engagement

Within the four Faculties (Engineering; Humanities and Social Sciences; Science; and Strathclyde Business School), information is communicated via staff and student structures as follows:

- Responsibility for research integrity and research culture is distributed through the Faculties via the Vice Deans with responsibility for Research who represent their Faculties on RKEC. Agreement made at committee level is disseminated via Faculty, Departmental and School management structures.
- Research staff representatives attend RKEC and relevant RKEC Sub-Committees to include their perspectives in decision-making and facilitate communication of key information to researchers.
- Research student representatives attend RKEC and the Strathclyde Doctoral School Management Board to ensure involvement in decision-making and communication of information into the wider student community. Expectations, information and guidance are also delivered to research students via their supervisors and postgraduate administrators in order to ensure that they are fully informed of best practice in research.
- Centrally, professional services directorates communicate with researchers at all career stages and disciplines via dedicated Sharepoint Sites (such as the RKES Portal, which holds a wide range of guidance and information relating to research funding, research governance and policy, engaging externals in research and support and training for researchers), corporate communications (such as Inside Strathclyde) and researcher forums (such as the Researchers' Group and Researcher Meet-ups).

External engagement

Strathclyde is a member of various external organisations of relevance to research integrity issues:

- **Universities Scotland (US):** Strathclyde contributes to discussions and activities that support and strengthen research integrity at a sector level through engagement with the Universities Scotland Research and Knowledge Exchange Committee (RKEC) and its sub-committees. Strathclyde hosted a US RKEC roundtable as part of Research Integrity and Culture Week 2023 focused on

collaborative approaches to addressing research culture in Scottish HEIs. The Associate Principal for Research and Innovation (Named Person) is an active member of the US RKEC. In addition, the Researcher Development Manager in OSDU chaired the Universities Scotland Researcher Development and Culture Committee (formerly Researcher Development and Training Committee), whose remit covers research culture, including promotion of research integrity, from April 2021 to April 2023 and is now co-leading a US Research Culture Task and Finish Group, which was initiated at the roundtable hosted by Strathclyde to take forward discussions from that day. Both committee and task and finish group are also attended by representatives of the Scottish Funding Council (SFC) and discussions have influenced SFC's approach to accountability in research integrity and research culture.

- **UK Research Integrity Office (UKRIO):** Strathclyde is a subscribing member of UKRIO, through which the Research Policy and Information Team attend events and access guidance and resources. CEO of UKRIO, James Parry, visited Strathclyde as part of Research Integrity and Culture Week 2023, was a member of a discussion panel for an event, and attended the US RKEC roundtable.

- **UK Committee on Research Integrity (UK CORI):** Strathclyde is engaged with the newly established UK CORI both as a subscriber to its e-newsletter and through attendance and participation in conference sessions delivered by UK CORI Co-Chairs. Miles Padgett, member of the UKCORI, visited Strathclyde as part of Research Integrity and Culture Week 2023, was a member of a discussion panel for an event, and attended the US RKEC roundtable.

- **Coalition for Advancing Research Assessment (CoARA):** Strathclyde joined CoARA in late 2022 as an early adopter. Membership at this early stage includes attending general assembly meetings to contribute to the development of CoARA governance and the formation of associated working groups/national chapters. Co-Vice-Chair of the CoARA steering board, Dr Lizzie Gadd, visited Strathclyde as part of Research Integrity and Culture Week 2023, was a member of a discussion panel for an event, and attended the US RKEC roundtable. The Research Policy and Information Team have also liaised with Dr Gadd on various matters related to research culture and research assessment, most recently during the development of Strathclyde's CoARA action plan.

- **UK Reproducibility Network (UKRN):** Strathclyde became an Institutional Member of UKRN in September 2022. UKRN is a national peer-led consortium that seeks to understand and address factors that contribute to poor research reproducibility and replicability. Neil Jacobs, Head of UKRN Open Research Programme, visited Strathclyde in March 2023 to meet with colleague's leading Strathclyde's open research activities, including the Research Data Management and Sharing cross-directorate team, the Research Policy and

Information Team in RKES, Strathclyde's UKRN institutional and local leads, and the Open Research Group.

- **Association of Research Managers and Administrators (ARMA):** The Research Policy and Information Team and staff in OSDU are members of ARMA which supports external peer discussion of key issues relating to research management, including ethics, research governance and research integrity, and gives access to events, resources and training.
- **Scottish Research Integrity Network:** Strathclyde is also engaged with the Scottish Research Integrity Network (SRIN), a forum aimed at sharing excellence, good practice and expertise in the field of research integrity across all research active institutions in Scotland. Members of the Research Policy and Information Team attend SRIN meetings regularly and engage with the network via a dedicated Microsoft Teams channel.
- **Vitae Policy Advisory Group:** The Head of Research Policy and Information is a member of the recently established Vitae Policy Advisory Group which exists to provide strategic advice on how Vitae can promote the value and potential of researchers to policymakers and inform policies that support researchers to thrive.

Through these memberships and networks, as well as through attendance at other sector events, Strathclyde engages in and influences discussions on research integrity, strengthening understanding and application of research integrity issues within the University as well as contributing to the advancement of sector-wide approaches.

Culture, development and leadership

Research integrity is seen as an integral part of promoting a positive research culture and the Researcher Development Concordat, which has received internal investment to support its activities, has proven to be an effective vehicle for progressing and monitoring research integrity activities.

Professional and personal development is a core component of research degrees at Strathclyde ensuring that our doctoral graduates have the skills and experience to be successful both in their studies and their future careers. Our PGR Researcher Development Programme (RDP), delivered by Faculties, Professional Services and external partners, is mapped to the UK's Researcher Development Framework and Statement (RDF/S), which articulates the knowledge, behaviours and attributes of successful researchers. The tailored RDP provides the postgraduate research community with a range of opportunities to continue their personal, professional and career management skills development and enhance their transferable skills, attributes and competencies for future employability both inside and outside of academia. Specific Research Integrity training is delivered through PGR induction (delivered twice annually and supplemented by our online PG Essentials module), via face-to-face workshops and as a 20-hour online resource available to all

students. The Convenor of the University Ethics Committee also delivers a 'Researchers' Guide to Ethics' training course to PGRs throughout the year.

Training for staff, including Technicians, Early Career (including postdoctoral researchers, research fellows and research assistants), Mid-Career & Established Academics, is delivered by our Organisational and Staff Development Unit (OSDU). In particular, the Unit's Strathclyde Programme in Academic practice, Researcher development and Knowledge exchange (SPARK), Strathclyde Programme in Research and Leadership (SPIRAL) and Strathclyde Supervisor Development Programme aim to deliver relevant content relating to research, supervision and knowledge exchange. SPARK's specific Researcher Development provision aims to empower staff by providing them with the skills, experiences and understanding to reach their full potential, whilst at the same time providing the University with a means of assuring and enhancing quality in its research at all levels. Meanwhile SPIRAL focuses on developing and strengthening leadership across research and knowledge exchange while the Supervisor Programme provides comprehensive development opportunities for new and experienced doctoral Supervisors. All three programmes contribute significantly to the culture of research integrity at Strathclyde.

Specific training on research integrity issues, including research data management, is available to groups of researchers on request. In addition to the 20-hour online resource on research integrity, also available to students, there is a full research data management course available online via the Development & Training Gateway. Online and in-person sessions on open access and research data management are also run regularly, open to staff and research students. One-to-one training sessions on research data management and sharing are provided on request by the cross-directorate Research Data Management and Sharing (RDMS) team.

Research Integrity events are now included as standard within OSDU's Researcher Development provision:

- 'Research Integrity in Practice' (SPIRAL Programme) – a twice-yearly, half-day workshop to support staff to understand and apply the principles of Research Integrity in their everyday work, and to explore how misconduct may arise and ways to alleviate such pressures, as well as drawing attention to Strathclyde's policies and procedures in these areas.
- 'Promoting Research Integrity Through Supervision' (Strathclyde Supervisor Development Programme) – a half-day workshop to support PGR supervisors to consider their own understanding of good research practice, make informed choices based on the principles of Research Integrity and consider how they can embed a culture of integrity within and beyond their supervisory relationships.
- 'Responsible Research & Innovation' (SPIRAL Programme) – a half-day workshop to introduce researchers to key principles and tools for responsible research and innovation, allowing them to explore these concepts in their own research contexts. The course ran in 2022 as a blended five-week workshop and was re-structured into its current format in 2023.

- Staff researchers have access to the online suite of 'Research Integrity' workshops which is also available to PGRs.

Leadership in Research Integrity

Demonstrating the strength of Strathclyde's commitment to research integrity, the Associate Principal with responsibility for Research and Innovation has designated responsibility for ensuring that Strathclyde responds to and upholds the Concordat. This responsibility extends to research and knowledge exchange policies, ethics, postgraduate researcher development and research governance. To ensure confidentiality and encourage disclosure of concerns around misconduct, any queries related to research integrity are directed to a dedicated email address (research-integrity@strath.ac.uk) which is only accessible to the Associate Principal and select members of the Research Policy and Information Team based in Research and Knowledge Exchange Services (RKES). The Associate Principal is supported in this work by the Deputy Associate Principals with Research, Knowledge Exchange and Innovation portfolios and the Vice Deans Research within Faculties.

Monitoring and reporting

The reporting requirements for the Research Integrity Concordat and Researcher Development Concordat (and associated HR Excellence in Research Award process) form the basis of monitoring and reporting on matters related to research integrity. Annual reports are prepared by the Research Policy and Information Team and Organisational and Staff Development Unit for consideration by the University's Research and Knowledge Exchange Committee. During the year, activity is monitored and directed through the RKEC sub-committees, namely the Research Development and Culture Sub-committee and Research Sub-committee. Periodic reporting on the other research concordats and agreements, including the Concordat on Open Research Data, is also undertaken.

2B. Changes and developments during the period under review

Revised Research Code of Practice

The Research Code of Practice, Strathclyde's core research integrity policy, has been significantly revised. These revisions comprise:

- A new structure aligned to the research lifecycle to support researchers to find the relevant information more easily.
- Additional sections on practical planning (3.1), collaborative and international research (including trusted research and innovation) (3.4), open access outputs and research data (4.3), and evaluating research (5).
- Updated content throughout the document to reflect sector developments, changes to legislation and updates to University policies.

These revisions do not place additional requirements on researchers relating to research integrity but update, clarify and consolidate expectations and requirements already established in regulations, legislation, research concordats, and government, funder or internal policies. In doing so, the Research Code of Practice v.3.0 promotes the production and dissemination of research of the highest quality across the University and aims to prevent research misconduct through the clear articulation of standards for research practice. These revisions align with the more recently released revised UKRIO Code of Practice for Research. The Code will be reviewed every year to ensure necessary sector developments and internal policy changes are reflected.

Broader details about best practice, support available and further materials to promote understanding are included in an accompanying *Guide to Good Research Practice*. The Guide has been developed as an online, interactive resource with videos and quizzes to increase engagement with the topic of research integrity. These two documents, in combination, provide necessary detail to enable researchers to better understand expectations relating to research integrity, in line with the University's commitment in the Research Integrity Concordat to '*support researchers to understand and act according to expected standards, values and behaviours*.'

Other policy revisions

In addition to the Research Code of Practice, two existing policies relating to Research Data Management and Sharing (RDMS) were reviewed by the Open Research Group and associated Open Research Action Group. Responding to sector developments and in support of the University's strategic research and KE goals, a revised single policy was developed that merges and extends these existing policies to facilitate consistent good practice in research data management. Key to this are enhanced requirements around data management planning to ensure the highest standards of data collection, organisation, storage, sharing and preservation. To this end, the policy requires that all staff and PGR student projects have a data management plan (DMP) – proportionate to the research being undertaken – in place prior to commencement and maintain it throughout the research lifecycle.

In addition, an Institutional Rights Retention Policy (IRRP) for Research Publications has been developed to support authors to retain the copyright to their publications and comply with funder requirements. The policy also enables Strathclyde to disseminate its research and scholarship as widely as possible. This is currently progressing through the relevant University committees and, subject to approval, should come into effect from November 2023.

A new institutional Researcher Development Time Policy was approved to support research staff in taking adequate time for professional development as well as the development of their research identity and leadership skills. The policy will be implemented at the start of the 2023/2024 academic year, accompanied by

guidance for Researchers and their Managers to support them to effectively apply this policy.

Research Integrity and Culture Week

In January 2023, Strathclyde held its inaugural Research Integrity and Culture Week aimed at promoting research integrity and a positive research culture. The Week comprised of 17 events as well as online resources on a dedicated Sharepoint Site. It was jointly organised by the staff leading on activities related to the Research Integrity Concordat and the Researcher Development Concordat in two professional services units: Research and Knowledge Exchange Services and the Organisational and Staff Development Unit. Events included a sector-wide 'Where next for research integrity & culture?' event with speakers from the UK Research Integrity Office, the UK Committee on Research Integrity, the Coalition for Advancing Research Assessment, and the Ethics Governance in Scottish Universities project, followed by an out-of-cycle Universities Scotland RKEC roundtable (bringing together senior leaders from all Scottish Universities), organised specifically as part of Research Integrity and Culture Week. Workshop sessions were held on Responsible Research Assessment, Ethics & Research Governance, Sustainable Development Goals and Responsible Data Management. Wellcome Trust Culture Café sessions and workshops targeted specific groups including those in Leadership roles, Supervisors & Line Managers, Research Staff and Postgraduate Research Students.

Strathclyde attendees to the events represented 5.5 times more staff than engaged in centrally delivered integrity development activities during the previous academic year. Engagement with online resources was also high, with over 1000 views to a dedicated site created to host research integrity and culture resources and recordings from events. Feedback showed the Week was well received and that staff welcomed the opportunity to consider these topics in depth with colleagues. Following the success of Research Integrity and Culture Week 2023, it has been agreed that the Week will be run annually as a core part of Strathclyde's work towards a positive research culture, which enables researchers to produce the highest quality of research.

Coalition for Advancing Research Assessment (CoARA)

 As a socially progressive and values-led institution, Strathclyde recognises that world-leading research must be underpinned by a positive research culture that recognises and rewards quality in all its forms, promotes research integrity and supports the career development of researchers. To achieve this research assessment procedures must support our values as a signatory to DORA and our responsibilities under the Concordat to Support Researcher Development and the Concordat to Support Research Integrity. Strathclyde has already undertaken action and is committed to further development in this area. For this reason, Strathclyde signed the Agreement on Reforming Research Assessment (ARRA) and

became a founding member of the associated Coalition for Advancing Research Assessment (CoARA) in November 2022. This demonstrates Strathclyde's dedication to making tangible improvements to research assessment, and research culture more broadly, in line with our shared University values to be bold, innovative, collaborative, ambitious and people-oriented. In 2022-23, a preliminary mapping of in-scope research assessment activities has been completed and a five-year action plan has been developed, subject to approval in late 2023.

Ethics and Governance

Development of an online ethics application system has progressed significantly in this review period. It has been agreed that this will occur in phases, with the initial phase focusing on the development of a stand-alone online application form, and development of the wider application management system to follow. The online form will provide several benefits, including question logic and mandatory questions to ensure necessary information is provided, links to guidance throughout the form to support researchers to address all ethical considerations, auto-generation of emails to reduce administrative burden, and easier monitoring of compliance with governance obligations.

Concordat to Support the Career Development of Researchers ('Researcher Development Concordat')

The University continues to be strongly committed to support the professional and career development of researchers, as demonstrated through our implementation of the Researcher Development Concordat. Considerable progress has been made during the second year of the implementation of the institution's Researcher Development Concordat Action Plan through both:

- the continuation and enhancement of activities implemented in the previous year, such as developing Research Culture indicators within the RDCSC (including an indicator related to research integrity), staff engagement through surveys and other formats, enhanced support processes and development opportunities; and
- new initiatives to address actions, such as the recruitment of a dedicated researcher career development advisor and the launch of a Dignity & Respect Advisor network to support staff members in relation to matters of any inappropriate behaviour.

Moreover, a light-touch review of the Researcher Development Concordat Action Plan was undertaken in summer 2023 and, in consultation with relevant stakeholders, has resulted in an update of the Action Plan for the period 2024-27.

2C. Reflections on progress and plans for future developments

Reflection on 22-23 activities

Based on observations and discussion outcomes during Research Integrity and Culture Week 2023, there appears to be a basic understanding of research integrity matters across the institution – from PGR students to research leaders. However, awareness of formal procedures and reporting mechanisms, sources of support and guidance, and ongoing initiatives seemed to be lower. This is reflected in the levels of engagement with the revised Research Code of Practice and Guide to Good Research since their publication. As such, Strathclyde will seek to increase advocacy and awareness raising activities in the coming year. This will include a launch event for recently revised policies and associated guidance to support engagement from staff and students. In addition, there are several ongoing projects with plans for further development. Specific activities are outlined below.

Plans for 2023-24

Research Integrity and Culture Week 2024

With participation of more than 400 individuals through online and on-campus activities along with overall positive feedback, Research Integrity & Culture Week has proven to offer a successful format to build on and learn from for future activities. It has been agreed that Research Integrity and Culture Week will become an annual initiative, with Research Integrity and Culture Week 2024 anticipated for late March 2024. Responding to feedback from 2023, further developments will:

- Diversify delivery formats to potentially include more options of online / hybrid opportunities;
- Address the broader Strathclyde community involved in research, including for example technicians, knowledge exchange staff, teaching staff and professional services, as well as at Departmental and School level;
- Include wider initiatives related to Research Integrity and Culture led by colleagues across the institution.

Advocacy and guidance

Seeking alignment with related work aimed at enhancing the quality of Strathclyde's research, the annual Research Quality Review (RQR) process will be used to promote good research practice in accordance with the Research Integrity Concordat. As part of this, guidance and support will be provided to enable the development of quality criteria and assessment processes for the assessment of research outputs.

Taking a people-centred and collaborative approach, this process is reviewed and refined each year (following the INORMS SCOPE Framework for Research Evaluation) with input from Department/School and Faculty research and KE leads to ensure alignment and complementarity with all aspects of university business as well as responsiveness to external requirements, including preparation for the Research Excellence Framework (REF) 2028.

In line with the REF, the RQR takes a broad definition of research quality. The assessment of research undertaken through the RQR therefore encompasses: the

contribution to knowledge, including the integrity of the research process as well as the findings and outputs produced; the vitality and sustainability of the enabling environment and research culture; and the reach and significance of impact beyond academia.

CoARA Action plan

Poor research assessment practices can create perverse incentives that run counter to research integrity. In 2023-24, Strathclyde will be finalising and initiating its CoARA action plan focuses on reforming research assessment practices in order to recognise the diverse outputs, practices and activities that maximise the quality and impact of research, with best practice in research integrity considered to be a key part of this. Strathclyde will deliver a coordinated approach to embed responsible research assessment practices across the institution, thereby supporting sustainable and diversified research quality, strengthening the research culture, and promoting research integrity. Recognising the multi-faceted nature of research assessment, which lies within the remit of multiple teams across Strathclyde, Strathclyde will establish an institutional Responsible Research Assessment Framework to promote comprehensive reform, overseen by a dedicated Working Group with representatives from the groups responsible for delivery of research assessment processes.

Alignment of research concordats and agreements work

Responding to the Phase 2 recommendations from the Research concordats and agreements review and building on existing efforts to align and harmonise related activities, work will be undertaken to develop an overarching research culture framework detailing our shared understanding of what a positive research culture looks like, our initiative commitments, how we will engage our stakeholders, and how we will evidence our progress. This work will commence by bringing all those responsible for an initiative commitment together for discussion.

Concordat to Support the Career Development of Researchers ('Researcher Development Concordat')

A phased approach to implementing the obligations of this Concordat will be taken through the updated Researcher Development Concordat Action Plan, with research integrity continuing to play a key role. Over the next year the focus will be placed, among others, on actions relating to support Managers of Researchers, to address sector-wide Research Culture challenges and to build on newly developed initiatives, such as the organisation of Research Integrity & Culture Week 2024. Close engagement with stakeholders, national networks and aligned initiatives will be an important element to ensure a consistent, institutional approach to research culture.

Ethics and governance
Following a review of the Code of Practice on Investigations Involving Human Beings, it has been agreed that a substantial revision will be undertaken to clarify

the guidance and update with sector developments. Work on this is already underway. The intention is to provide simpler documentation than the current CoP and to divide this into three sections:

- The broad principles of ethics review.
- Guide to completing an application for ethics approval.
- An expanded glossary including links to further information.

New guidance is also being prepared to complement the updated Code of Practice on Investigations Involving Human Beings and existing guidance on the UEC webpage. Links to the updated Code of Practice and guidance will be included in the online ethics application form (expected to be completed in AY23-24). The University Ethics Committee Convener and Manager are in discussion with the Organisational and Staff Development Unit to further develop ethics training for staff, including specific training for supervisors. Finally, monitoring of Departmental Ethics Committee activities will be increased to promote consistency of review and ensure compliance with all governance obligations. A light touch process will be developed and introduced in AY23-24.

PGR Induction

Good research practice will be further integrated into PGR inductions through participation in 'marketplace' style events and induction seminars. In doing so, PGRs will be receiving information on research integrity and research culture from the outset of their programme, from a centralised team, and will be aware of the available resources, training and support. This will promote consistency across the institution, rather than relying on faculty/department/supervisor practices.

Institutional Wellcome Trust funding for research culture

Strathclyde has been awarded approx. £1M from the Wellcome Trust Institutional Funding for Research Culture call for the institution-wide project 'Cultures of Collaborative Research in a Socially Progressive Technological University". The proposal for this competitive funding award was developed and submitted in Spring 2023 and the project will begin in March 2024. The call was open to forty-two institutions and aimed to enable organisations to move beyond their current practice and explore ways to advance their research cultures. The project will be led by Prof Churnjeet Mahn in collaboration with the Associate Principal (Research and Innovation), the Deputy Associate Principals (Research and KE), RKES, and OSDU, to deliver on three key goals:

- Delivering interventions that test levers that enable inclusive cultures of collaboration in cross-sector research environments.
- Developing sector data and guidance related to benchmarking positive cultures of collaboration.

- Producing sector-facing resources that address how we can reward and recognise the 'invisible' labour required to produce highly innovative and collaborative research cultures.

2D. Case study on good practice (optional)

In January 2023, Strathclyde held its inaugural Research Integrity and Culture Week aimed at promoting research integrity and a positive research culture. The Week comprised a series of events as well as online resources. It was jointly organised by the staff leading on activities related to the Research Integrity Concordat and the Researcher Development Concordat in two professional services units: Research and Knowledge Exchange Services and the Organisational and Staff Development Unit.

During the week, there were 17 events from Monday to Thursday with staff encouraged to use the Friday to engage with dedicated online resources, in line with Strathclyde's 'meeting-free Friday' initiative. These events included:

- A sector-wide 'Where next for research integrity & culture?' event with speakers from the UK Research Integrity Office, the UK Committee on Research Integrity, the Coalition for Advancing Research Assessment, and the Ethics Governance in Scottish Universities project. The event was followed by an out-of-cycle Universities Scotland RKEC roundtable, organised specifically as part of Research Integrity and Culture Week.
- Presentations from University Leaders on varying aspects of research integrity and culture.
- Workshop sessions on Responsible Research Assessment, Ethics & Research Governance, Sustainable Development Goals and Responsible Data Management.
- Wellcome Trust Culture Café sessions and workshops targeting specific groups including those in Leadership roles, Supervisors & Line Managers, Research Staff and Postgraduate Research Students.

To support inclusivity and knowledge sharing, the sector-wide event was made open to external attendees both online and in person for free and the recording has been uploaded to Youtube. More than 100 people signed up from other institutions and organisations across the UK as well as internationally, and there have been over 150 views of the recording. This reflects Strathclyde's collaborative and ambitious commitment to promoting good research practice and positive research cultures across the sector. As a result of the roundtable that followed the event, a cross-committee Universities Scotland Research Culture Working Group has been established to progress this work.

Strathclyde attendees to the events represented 5.5 times more staff than engaged in centrally delivered integrity development activities during the previous academic year. Engagement with online resources was also high, with over 1000 views to a dedicated site created to host research integrity and culture resources and recordings from events. Feedback showed the Week was well received and that staff welcomed the opportunity to consider these topics in depth with colleagues.

Following the success of Research Integrity and Culture Week 2023, it has been agreed that the Week will be run annually as a core part of Strathclyde's work towards a positive research culture, which enables researchers to produce the highest quality of research.

Section 3: Addressing research misconduct

3A. Statement on processes that the organisation has in place for dealing with allegations of misconduct

As outlined in the Research Code of Practice, Strathclyde adopts the Research Integrity Concordat definition of research misconduct and has processes in place for the reporting and investigation of research misconduct. Any allegation of research misconduct involving a researcher at the University is treated as a serious matter and is investigated according to the following procedures:

- Allegations of research misconduct concerning registered University students will be considered under the terms of the University's Student Discipline Procedure: Academic Misconduct.
- Allegations of research misconduct concerning University staff will be investigated in accordance with the Process for Investigating Allegations of Research Misconduct.
- Allegations of research misconduct concerning any individual with visiting, honorary or emeritus status at the University should be addressed in writing to the relevant Dean who will undertake an initial assessment of the allegations, confidentially undertaking informal enquiries as necessary to clarify the nature of the allegations. The Dean may delegate the undertaking of informal enquiries, ensuring that such input avoids conflicts of interest and provides an appropriate level of expertise in the scientific area. As those with visiting, honorary or emeritus status are not University employees, workers or registered students, the process for any further investigation required and for determining subsequent actions will be determined on a case-by-case basis by the relevant Dean.

A minor update was made to the Procedure for the Investigation of Misconduct in Research (effective from 30 March 2023), to align the terminology with the new UKRIO Procedure (in draft form at the time of drafting the update) and enhance the clarity of the text. In addition, recognising that the term 'allegation' can be a barrier to disclosure, the following clause (1.4) was added to allow for and encourage informal expressions of concern.

'Concerns regarding the conduct of research may be raised informally with the Named Person if the basis for making an allegation is unclear. The raising of a concern does not constitute an allegation of research misconduct. However, the Named Person may progress an informal concern to the Receipt of Allegations Stage if they consider that further consideration of the conduct in question is required.'

A major review and update of the Procedure is planned for 2023-24. This will draw heavily on the UKRIO Procedure for the Investigation of Misconduct in Research (Version 2.0, published 10/03/23).

The University also has a Public Interest Disclosure Policy which can be invoked in certain circumstances and under which an investigation may be carried out to determine if any impropriety or breach of University regulations has occurred.

Enabling reporting of concerns

The University is committed to acting with no detriment to whistle-blowers who have made allegations of misconduct unless such allegations are made maliciously. This means that the University will take reasonable steps to safeguard the reputation of anyone who appropriately reports concerns about research misconduct, which includes avoiding the inappropriate use of legal instruments, such a non-disclosure agreements. All allegations of research misconduct are taken seriously and investigated in line with the processes outlined in the Research Code of Practice and the University takes steps to resolve any issues found during the investigation. This can include imposing sanctions, requesting a correction of the research record and reporting action to relevant external bodies. If involvement in research misconduct procedures at any point has an impact on the emotional and mental wellbeing of the complainant or the respondent, the University has a suite of support and guidance resources for staff and for students, including access to counselling. The information listed here with regards to making allegations of research misconduct is stated in the Guide to Good Research Practice and reiterated at research integrity training and events to reassure staff and students that they would be supported if they reported research misconduct.

Inappropriate behaviours, such as bullying and harassment, can occur alongside serious and intentional cases of research misconduct as the researcher attempts to cover their actions. Even where inappropriate behaviours are not associated with research misconduct, they can damage the research culture. The University actively encouraged reporting of any incidence of inappropriate behaviour, so that it can be challenges and addressed and so that support can be provided to those affected. To enable this, the University has established a framework, Safe360°, for protecting people's health, safety, wellbeing and human rights within the context of university activity. It underpins the University's duty of care and enhances support mechanisms for students and staff, integrating national guidance and University policies and procedures. As part of Safe360°, the University runs an online reporting tool – Report & Support – which can be used to report inappropriate behaviours such as harassment or discrimination or to raise concerns about safety and issues that undermine the University's inclusive environment. If reports of research misconduct are made via Report & Support, or reports of other inappropriate behaviour mentions potential research misconduct, the report will be shared with research-integrity@strath.ac.uk so that the potential misconduct can be investigated through the appropriate procedures.

Lessons learned

This year's work to address research misconduct has confirmed the need for a comprehensive review and revision of the Procedure for the Investigation of Misconduct in Research, including the appeals process. Areas for improvement in implementing the Procedure have also been identified, namely ensuring timely and appropriate communication to those concerned and being clear about the purpose of this and related University processes (specifically the alignment with the University's Disciplinary Procedure for All Staff Categories).

3B. Information on investigations of research misconduct that have been undertaken

During the reporting period (2022-23), one allegation of misconduct and two new expressions of concern were received.

The allegation of misconduct related to plagiarism and was considered under the Preliminary Stage (Receipt of Allegations) and it was determined that there was no case to answer. No further investigation was therefore undertaken.

The first expression of concern related to the potential for research misconduct to occur. This was considered under the Preliminary Stage (Receipt of Allegations) and preventative action was taken. The second expression of concern related to publication ethics and communication was facilitated to resolve the concern without the need for it to be considered under the Preliminary Stage (Receipt of Allegations). Neither constituted a formal allegation of misconduct.

In addition, the expression of concern which was being considered under the Preliminary Stage (Receipt of Allegations) at the end of 2021-22 was progressed to a formal investigation during 2022-23. This investigation, which relates to misrepresentation, is ongoing (and is therefore not recorded in the table overleaf).

As a subscriber to the UK Research Integrity Office (UKRIO), Strathclyde sought confidential advice on one occasion this year. This regarded the acknowledgment of research contributions within published outputs and a helpful response was received.

As reported in previous statements, four formal investigations had been conducted prior to this year. These related to authorship and IP (2020-21 investigation complete – allegations not upheld); plagiarism, including self-plagiarism (2021-21 investigation complete – allegation upheld); failure to recognise/report student falsification (2019-20 investigation complete – allegation not upheld); and failure to follow ethical guidelines (2016-17 investigation complete - allegation upheld).

Type of allegation	Number of allegations			
	Number of allegations reported to the organisation	Number of formal investigations	Number upheld in part after formal investigation	Number upheld in full after formal investigation
Fabrication				
Falsification				
Plagiarism	1			
Failure to meet legal, ethical and professional obligations				
Misrepresentation (eg data; involvement; interests; qualification; and/or publication history)				
Improper dealing with allegations of misconduct				
Multiple areas of concern (when received in a single allegation)				
*Other**				
Total:	**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.				