

# Sheffield Hallam University's Commitment to the Concordat to Support Research Integrity December 2019

## MAINTAINING THE HIGHEST STANDARDS OF RESEARCH INTEGRITY

### Commitment 1: We are committed to maintaining the highest standards of rigour and integrity in all aspects of research

The core elements are:

- **Honesty** in all aspects of research, including in the presentation of research goals, intentions and findings; in reporting on research methods and procedures; in gathering data; in using and acknowledging the work of other researchers; and in conveying valid interpretations and making justifiable claims based on research findings.
- **Rigour**, in line with prevailing disciplinary norms and standards: in performing research and using appropriate methods; in adhering to an agreed protocol where appropriate; in drawing interpretations and conclusions from the research; and in communicating the results.
- **Transparency and open communication** in declaring conflicts of interest; in the reporting of research data collection methods; in the analysis and interpretation of data; in making research findings widely available, which includes sharing negative results as appropriate; and in presenting the work to other researchers and to the general public.
- **Care and respect** for all participants in and subjects of research, including humans, animals, the environment and cultural objects. Those engaged with research must also show care and respect for the integrity of the research record.
- **Accountability** of funders, employers and researchers to collectively create a research environment in which individuals and organisations are empowered and enabled to own the research process. Those engaged with research must also ensure that individuals and organisations are held to account when behaviour fall short of the standards set by this concordat.

Concordat Key Statements	Policy and Practice at SHU	Support, Actions and Recommendations for SHU
<p><b>Researchers</b> are responsible for</p> <ul style="list-style-type: none"> <li>• understanding the expected standards of rigour and integrity relevant to their research</li> <li>• maintaining the highest standards of rigour and integrity in their work at all times</li> </ul>	<p><b>Policy and guidance</b></p> <p>The University's research policy is to sustain programmes of excellent and ethical research. The Research Ethics Policies and Procedures ensure good practice and that research undertaken at the University which involves direct contact with patients or healthy participants, whether clinical, biomedical or social research, or the secondary use of existing human and animal materials or specimens, or where there may be other ethical issues, should be subject to ethical review. Furthermore, the following guidance has been produced to support the ethics policy:</p> <ul style="list-style-type: none"> <li>• Code of Practice for Researchers Working with Vulnerable Populations</li> <li>• Guidelines on Ethical Aspects of Research Using Information and Communication Technology</li> <li>• Guidance for researchers on the Mental Capacity Act</li> </ul>	<p><b>Recommendations for Researchers</b></p> <ul style="list-style-type: none"> <li>• to ensure an up-to-date understanding of the University's ethics policy and procedures</li> <li>• to apply best practice when conducting research</li> <li>• to access support and guidance from research managers, Research Ethics Committees, Research and Innovation Services and other central</li> </ul>

<p><b>Employers of researchers</b> are responsible for:</p> <ul style="list-style-type: none"> <li>• maintaining a research environment that develops good research practice and embeds a culture of research integrity, as described in commitments 2 to 5</li> <li>• supporting researchers to understand and act according to expected standards, values and behaviours</li> <li>• defending researchers when they live up to these expectations in difficult circumstances</li> <li>• demonstrating that they have procedures in place to ensure that research is conducted in accordance with standards of best practice; systems to promote research integrity; and transparent, robust and fair processes to investigate alleged research misconduct.</li> </ul> <p><b>Collaborative Research</b> Where research is being undertaken collaboratively, and particularly within multidisciplinary or international partnerships, there needs to be clear agreement on, and articulation of the standards and frameworks that will apply to the work.</p>	<ul style="list-style-type: none"> <li>• Procedures when Undertaking Research in Schools</li> <li>• GDPR Guidance for Researchers</li> <li>• Guidelines for Observational Studies</li> <li>• Guidance on university procedures to obtain an NHS Research passport</li> <li>• Use of Student Data in Research</li> <li>• Guidance on Survey Research Involving Potentially Criminal Behaviour</li> <li>• Guidance on undertaking research in the USA and Canada</li> <li>• Guidance on storage of qualitative data</li> <li>• Researcher Safety: guidance for risk assessment</li> <li>• Principles of Good Research Practice for Peer Reviewers</li> <li>• Principles of Good Research Practice for Authorship</li> <li>• Insider Research Guidelines</li> <li>• Guiding Principles for Access to Staff and Students by External Researchers</li> <li>• Researching Prisoners, Young Offenders or Probation Services</li> <li>• Use of research Incentives</li> <li>• Insider research guidelines</li> </ul> <p>As new issues emerge internally or externally, additional guidance is developed. This year training sessions on GDPR have continued across the University. These also included ethics and integrity training and updating to maximise impact. A working group was established to produce exemplar information sheets and consent forms suitable for different ages and meets the needs of different types of research participants a to comply with GDPR.</p> <p>The University has clear policy and procedures on safeguarding integrity in research and dealing with allegations of misconduct in research. There is a separate policy for Doctoral and Masters by Research students.</p> <p><b>Promotion of Good Research Practice</b> The University is committed to the promotion of good research practice. Within the University, there is a broad spectrum of courses and information available to researchers covering personal and professional development, research and knowledge transfer skills. The following is not an exhaustive list but provides a sample of development opportunities available that relate to research integrity.</p>	<p>departments</p> <p><b>Recommendations for SHU</b></p> <ul style="list-style-type: none"> <li>• to review the Research Ethics Policy annually and to keep abreast of national and international policy and guidance</li> <li>• to ensure effective processes are in place to implement guidance</li> <li>• to widely disseminate policy and practice and ensure the research community is informed on matters pertaining to research integrity</li> <li>• to promote a culture of rigour, openness and integrity</li> <li>• to ensure there is a formal agreement on, and articulation of the standards and frameworks that will apply to the work where research is being undertaken collaboratively either nationally or internationally.</li> </ul> <p><b>Recommendations for Heads of Department and Research Centre Managers</b></p> <ul style="list-style-type: none"> <li>• to ensure an up-to-date understanding of the University's ethics policy</li> </ul>
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<p><b>Funders of research</b> will:</p> <ul style="list-style-type: none"> <li>• publish clear statements of their expectations of researchers and employers of researchers with respect to standards of professionalism and integrity</li> <li>• take research integrity into account in the development of policies and processes</li> <li>• encourage adoption of the concordat by associating it with their funding conditions</li> </ul>	<p>Bespoke sessions are held on a regular basis when a developmental need is identified.</p> <ul style="list-style-type: none"> <li>• Research Ethics and Integrity: on-line research training</li> <li>• Introduction to Research Ethics and Governance</li> <li>• Writing for Publication</li> <li>• Writing a successful grant Application</li> <li>• Open Access Publishing</li> <li>• REF Equality and Diversity Training</li> <li>• Research Ethics Governance for NHS &amp; Social Care research</li> <li>• University and Faculty induction events for all new researchers</li> <li>• Research ethics on the Research Supervisor Training Course</li> <li>• Annual updates for Research Centres</li> </ul> <p>The principles of research integrity are embedded in the early stages of a research career through mandatory ethics training for all new post graduate students with advanced training for students using humans, human tissue or animals in their research. Training resources are continually reviewed to ensure their currency and this year a new extended version of online Research Training was procured. The university has moved to having these online resources hosted externally by the provider and this has allowed access to these resources to be opened to the wider student body as part of their research training.</p>	<p>and procedures</p> <ul style="list-style-type: none"> <li>• encourage staff to update skills in aspects of research integrity as part of the appraisal process</li> <li>• to promote a local culture of rigour and integrity</li> </ul>
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**Commitment 2: We are committed to ensuring that research is conducted according to appropriate ethical, legal and professional frameworks, obligations and standards.**

The core elements are:

- All parties have a responsibility to ensure they have up to date knowledge of those ethical, legal and professional frameworks, obligations and standards that apply to their work
- Relevant and appropriate resources should be drawn on by researchers when they undertake research, and may also be of use to employers of researchers
- It is important that researchers are familiar with the specific guidelines as part of their conditions of grant and, where necessary, by their employers
- Researchers should pro-actively engage in their own personal and career development and this includes recognition of changing ethical, legal and professional body obligations

Concordat Key Statements	Policy and Practice at SHU	Support, Actions and Recommendations for SHU
<p><b>Researchers must:</b></p> <ul style="list-style-type: none"> <li>comply with ethical, legal and professional frameworks, obligations and standards as required by statutory and regulatory authorities, and by employers, funders and other relevant stakeholders</li> <li>ensure that all their research is subject to active and appropriate consideration of ethical issues</li> </ul> <p><b>Employers of researchers must:</b></p> <ul style="list-style-type: none"> <li>have clear policies on ethical review and approval that are available to all researchers</li> <li>make sure that all researchers are aware of, and understand policies and processes relating to ethical approval</li> <li>support researchers to adopt best practice in relation to ethical, legal and professional requirements</li> <li>have appropriate arrangements in place through which researchers can access advice and guidance on ethical, legal and professional obligations and standards</li> </ul>	<p><b>Legal Frameworks and Standards</b></p> <p>The University’s Research Ethics Policy and Procedures promotes good practice and the conduct of excellent and ethical research. The Policy is revised annually to ensure compliance with EU and national legislation and standards of good practice. The guiding principles of the ethics policy states that research undertaken by staff and students must conform to all legal requirements. This will include compliance with relevant data protection legislation, appropriate screening of researchers working with vulnerable groups and strict adherence to licensing requirements for any animal or biomedical research. Research should be undertaken in accordance with commonly agreed standards of good practice such as those laid down in the Declaration of Helsinki. A risk assessment approach is encouraged to safeguard the physical and psychological wellbeing of participants and researchers. This year as mentioned previously training and guidance on GDPR for researchers and doctoral student research projects has continued to ensure compliance with the new law. Training has been extended to cover staff supervising student research projects and delivering training on research methods.</p> <p><b>Research Ethics and Taught Course Provision</b></p> <p>The University’s Research Ethics Policy and Procedures applies to research undertaken by students on taught undergraduate and postgraduate courses who are acquiring the skills to undertake research. This year new regulations were implemented which ensure that students are aware of the need for ethical approval to be in place before they collect research data, the requirements for GDPR compliance and the university policy and procedures on student publications with serious consequences for violations.</p> <p><b>Data Retention</b></p> <p>The Ethics policy is also concerned with research quality promoting the highest standards of integrity, impartiality and respect for data. The University supports a research data archive ensuring material related to published studies can be securely stored in line with funder and University data retention policies. The University has further</p>	<p><b>Recommendations for Researchers</b></p> <ul style="list-style-type: none"> <li>to ensure an up-to-date knowledge of University and funder policy including specific terms and conditions of grant</li> <li>to apply best practice when conducting research and ensure compliance with all relevant ethical, legal and professional standards</li> <li>to access support and guidance from research managers, Research Ethics Committees, Research and Innovation Office and other central departments</li> </ul> <p><b>Recommendations for SHU</b></p> <ul style="list-style-type: none"> <li>to review the Research Ethics Policy annually in line with UK/EU legal requirements</li> <li>to continue to disseminate the Open Access policy for publicly funded research and to encourage all researchers to comply where possible</li> <li>to ensure the necessary support structures are</li> </ul>

	<p>developed our existing Research Data Management Processes and associated IT services by creating an electronic research data archive to ensure full compliance with emerging UK Research Council policy. This is being actively promoted and data management plans are now produced by researchers alongside research ethics proforma. To help address the Prevent agenda additionally secure research data storage behind two firewalls has been introduced for any security sensitive research that is undertaken at the University. The need for this is indicated in the research ethics application.</p> <p><b>Open Access Publication</b>  Researchers are required to deposit their work in the University Research Archive (SHURA), an open access repository containing scholarly outputs and publications authored by researchers at the University. The University has processes and procedures in place to ensure it adheres to Research Council Policy on Open Access publication and these are actively promoted across the university.</p> <p><b>Advice and Guidance</b>  Research Ethics Policy and Procedures and supporting guidance are available on an external website and are promoted through the University Research Ethics structure.</p> <p>The University has dedicated points of contacts for all matters pertaining to research ethics, information governance and legal requirements including:</p> <ul style="list-style-type: none"> <li>• Research policy: Head of Research Ethics and Research Ethics Committee Chairs</li> <li>• Research process: Research Ethics Secretary, Research and Innovation Office</li> <li>• Legal: IP and Contracts Manager, Research and Innovation Office</li> <li>• Data Protection: Information Governance Officer, Secretariat</li> <li>• Open Access and data management: Library Research Support Team</li> </ul> <p><b>Conditions of Grant</b>  The University grant management process ensures; i) the opportunity to raise potential ethical issues associated with each</p>	<p>accessible to the research community to promote research integrity</p> <ul style="list-style-type: none"> <li>• to ensure approved policy and procedures are widely disseminated and implemented</li> <li>• to ensure that the Research Ethics leaflet is included in all induction packs for new staff</li> <li>• to ensure all grant conditions are scrutinised prior to the project commencing and to ensure the lead researcher is aware of their responsibilities</li> </ul> <p><b>Recommendations for Managers</b></p> <ul style="list-style-type: none"> <li>• to ensure an up-to-date knowledge of University and funder policy</li> <li>• to promote compliance with all ethical and legal standards and all grant conditions for all research under their management</li> <li>• to ensure researchers are provided with guidance for career development, reinforced through staff appraisal</li> <li>• to ensure dedicated points of contact staff receive recognition in work plans for their roles.</li> </ul>
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<p><b>Funders of research will:</b></p> <ul style="list-style-type: none"> <li>• through engagement with the signatories and other stakeholders, explore ways of streamlining their requirements to reduce duplication, inconsistency and/or conflict</li> <li>• ensure that their requirements are, through regular review, proportionate, relevant and consistent with the expectations of the concordat</li> <li>• incorporate proportionate checks, where appropriate, in the application and</li> <li>• award processes related to legal and ethical requirements</li> <li>• only provide funding to organisations that can demonstrate that appropriate structures are in place to ensure research integrity in their research activities</li> <li>• clearly identify and indicate any specific codes of practice and other policies that researchers and employers of researchers are expected to comply with, beyond those that might be generally expected</li> </ul>	<p>funding application prior to a grant being submitted to an external funder, ii) the scrutiny of terms and conditions of grant following award and iii) ethics scrutiny prior to commencement of the research and throughout the lifecycle of the project. All lead researchers are made aware of their obligations to University and funder policy, together with the support available.</p> <p><b>Career Development</b>  Career development responsibility is shared between the University and the researcher; institutional structures support development whilst researchers are encouraged to identify training and development needs that will achieve objectives and career aspirations via an annual appraisal process. It is a condition that all staff are appraised at least once per year.</p> <p><b>Awards and Recognition</b>  The University has secured the following awards and recognitions in relation to its support for research:</p> <ul style="list-style-type: none"> <li>• Research HR Excellence in Research Award (2013) which demonstrates our commitment to improving the working conditions and career development for research staff, which will in turn improve the quantity, quality and impact of research for the benefit of UK society and the economy</li> <li>• Bronze award for the Athena SWAN Charter 'Women in Science, Engineering and Technology held since 2010 recognising our foundation for eliminating gender bias and developing an inclusive culture</li> <li>• Recognition by the European Science Foundation of our approach to promoting research integrity (Fostering Research Integrity in Europe, ESF, December 2012)</li> <li>• Invitation to the Head of Research Ethics to present on the university perspective to the House of Commons Science and Technology Committee Investigation on Research Integrity in the UK.</li> <li>• Invitation to deliver keynote on ethics and integrity at the University of Huddersfield Research Conference 2019</li> </ul>	
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**Commitment 3: We are committed to supporting a research environment that is underpinned by a culture of integrity and based on good governance, best practice and support for the development of researchers**

A research environment that helps to develop good research practice and embeds a culture of research integrity must, as a minimum, have:

- clear policies, practices and procedures to support researchers
- training on research ethics and research integrity with suitable learning, training and mentoring opportunities to support the development of researchers' skills throughout their careers
- robust management systems to ensure that policies relating to research, research integrity and researcher behaviour are implemented
- awareness among researchers of the standards and behaviours that are expected of them
- systems within the research environment that identify potential concerns at an early stage
- mechanisms for providing support to researchers in need of assistance
- policies in place that ensure that there is no stigma attached to researchers who find that they need assistance from their employers
- clear processes for any staff member to raise concerns about research integrity

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<p><b>Researchers will:</b></p> <ul style="list-style-type: none"> <li>• take responsibility for keeping their knowledge up to date on the frameworks, standards and obligations that apply to their work</li> <li>• collaborate to maintain a research environment that encourages research integrity</li> <li>• design, conduct and report research in ways that embed integrity and ethical practice throughout</li> </ul> <p><b>Employers of researchers will:</b></p> <ul style="list-style-type: none"> <li>• embed these features in their own systems, processes and practices</li> <li>• reflect recognised best practice in their own systems, processes and practices</li> <li>• implement the concordat within their research environment.</li> <li>• participate in an annual monitoring exercise to demonstrate that the institution has met the commitments of the concordat</li> <li>• promote training and development opportunities to research staff and students, and encourage their uptake</li> <li>• identify a named senior member of staff to</li> </ul>	<p><b>Governance</b></p> <p>The University Research Ethics Committee (UREC) is responsible for developing and implementing policy and for providing guidance on research governance. This year the Committee became a full committee within the University governance structure. UREC now reports to the Creating Knowledge Pillar Board one of the four pillar boards governing the University. Each of the four Faculties within the University has a Research Ethics Committee (FREC) that advises on and oversees procedures for research projects at the local level. UREC will advise and monitor FRECs and act as an appeal body for the faculty committees. UREC ensures that policies are implemented at the local level and that processes are streamlined and accessible. This year a new procedure</p> <p><b>Points of Contact</b></p> <p>The University has a dedicated post of <i>Head of Research Ethics</i>; this senior member of staff is responsible for overseeing matters pertaining to research ethics and is the first point of contact both internally and externally for research ethics including any potential issues of research misconduct; the Head of Research Ethics is supported by a Research Ethics Secretary, normally a member of staff in the Research and Innovation Office. Furthermore, the</p>	<p><b>Recommendations for Researchers</b></p> <ul style="list-style-type: none"> <li>• to conduct research in accordance with the standards and behaviours expected by the University and funders of research</li> <li>• to access support and advice to ensure best practice</li> <li>• to fully engage with the appraisal process and to identify skills and knowledge that may need to be developed</li> </ul> <p><b>Recommendations for SHU</b></p> <ul style="list-style-type: none"> <li>• to ensure that the Research Ethics Committee continues to be an integral part of the</li> </ul>

<p>oversee research integrity and ensure that this information is kept up to date and publicly available on the institution's website</p> <ul style="list-style-type: none"> <li>• identify a named member of staff who will act as a first point of contact for anyone wanting more information on matters of research integrity, and ensure that contact details for this person are kept up to date and are publicly available on the institution's website</li> </ul>	<p>University has FREC Chairs and administrators who provide a valuable source of support, training and advice in subject specific disciplines.</p> <p><b>Research Environment</b></p> <p>Whilst adherence to principles of good research practice is the responsibility of each individual, it is the responsibility of the University's senior management to ensure that a climate is created that allows research to be conducted with the principles of good research practice. This includes:</p> <ul style="list-style-type: none"> <li>• Providing an environment that allows for mutual trust</li> <li>• Ensure that managerial pressures do not influence research</li> <li>• Research group leaders should maintain an awareness of activity within their group and the leadership chain in any group should not become too long</li> <li>• Ensuring that commercial pressures do not unduly influence research outcomes and that integrity is maintained</li> <li>• Requiring research staff to declare any potential conflicts of interest with regard to their research and ensuring that these are managed within research groups</li> <li>• Introducing adequate induction programmes, mentoring and training provision for new or experienced research staff and for all research students and their supervisors</li> <li>• Providing working environments and ensuring work practices meet with Health and Safety requirements as specified by the University.</li> </ul> <p><b>Development and Mentoring of Researchers</b></p> <p>The University is committed to supporting the principles of the UK Concordat to Support the Career Development of Researchers and the HR Excellence in Research Award received originally in 2013 and retained in March 2019. This award recognises good practice at the University for the management of researchers and their careers and ensures a highly valued research workforce who is central to the vibrant research environment and success of the University.</p> <p>The responsibility for mentoring new researchers is clearly outlined and each new researcher should have a more senior researcher primarily responsible for his or her progress and should receive</p>	<p>University Governance process with policy making and auditing powers</p> <ul style="list-style-type: none"> <li>• To continue to resource the Research governance process including the post of Head of Research Ethics</li> <li>• To ensure that policy, procedures and points of contact are clear and accessible to University staff and external bodies and individuals</li> <li>• To ensure that policy and procedures are embedded at all levels of University research</li> </ul> <p><b>Recommendations for Managers</b></p> <ul style="list-style-type: none"> <li>• to ensure that policies relating to research integrity are implemented</li> <li>• to ensure that researchers are aware of their responsibilities and the standards expected of them</li> <li>• to provide support, mentoring and developmental opportunities for researchers</li> </ul>
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adequate supervision. For post graduate students the Postgraduate Research Tutor in each Faculty will act as a confidential independent source of information and advice for new researchers if they are experiencing difficulties in their immediate research team.

All staff are expected to undertake an annual appraisal as an integral part of the annual planning process; appraisals will review performance, set out clear objectives and a future development plan.

### **Management Systems**

The University's grant management system and Research Ethics Policy and Procedures promote the adherence of publicly funded research to ethical, legal and professional standards. Three specific procedures serve to highlight our approach:

#### **1. Research Ethics**

All research undertaken at the University undergoes ethical review. The University has developed an online research ethics management system which has streamlined the reviewing process and ensures efficient record keeping for all university research. This was fully implemented in 2017/2018. Researchers conducting research which does not involve human participants or human tissue register their study via an online checklist and if a low level of risk is confirmed the study is signed off. Research undertaken at the University which involves direct contact with patients or healthy participants, whether clinical, biomedical or social research, or the secondary use of existing human and animal materials or specimens, or where there may be other ethical issues, is subject to ethical review prior to the project commencing. Here a higher level of ethical scrutiny is required so a full ethics proforma is completed and reviewed online by three reviewers, one of whom may be a lay reviewer. The online research ethics management system also allows researchers to register studies where ethical approval is acquired elsewhere such as NHS studies or research with other universities. Around 600 staff and doctoral students attended training sessions to become familiar with the online ethics review system and refresh their knowledge of research ethics.

#### **2. Grant/Contract Funded Research**

All grant/contract funded research must obtain University approval for which a business case for the research must be made that sets

<p><b>Funders of research will:</b></p> <ul style="list-style-type: none"> <li>• promote adoption of the concordat within the research community</li> <li>• support the implementation of the concordat through shared guidance, policies and plans</li> <li>• identify within their organisation a senior member of staff responsible for oversight of research integrity and ensure that this information is publicly available on the organisation's website</li> <li>• identify within their organisation a named lead contact for research integrity, and ensure that contact details for this person are kept up to date and are publicly available on the organisation's website</li> <li>• consider whether their policies and processes create disincentives for the creation and embedding of a positive research culture</li> <li>• work in partnership with employers and researchers to embed a culture of integrity within the research community</li> <li>• encourage adoption of the concordat by associating it with their funding conditions</li> </ul>	<p>out the strategic, financial and legal/ethical considerations of conducting such research. Following award this document acts as the reference point for all governance processes including ethical and legal review.</p> <p>The University has an online system for the approval of funded research. This requires researchers to complete a more extensive review of potential ethical issues in the proposed research. The system allows for improved record keeping and reporting as well as being more efficient for researchers.</p> <p><b>3. Doctoral Researchers</b></p> <p>Post Graduate Researcher progress is formally monitored in the first three months (six months for part-time students) via a Research Programme (RF1 or equivalent for Professional Doctorates and DBAs) form which is independently assessed by a rapporteur on behalf of the Research Degrees Sub-Committee; the RF1 checks on the research ethics status of the research and the compliance of the researcher with ethics training. Progress is further monitored at 12 months (24 months for part-time students) This rigorous assessment of the candidate's ability to succeed at doctoral level involves the candidate presenting a 6000 word progress report outlining the potential contribution to knowledge of the project, supplemented by an oral assessment. The progress report includes an ethics section reporting how ethical issues have been and will be addressed in future in their research. They must include in an appendix copies of any ethical approvals they have obtained. Students cannot progress without having satisfactorily addressed ethical issues and having appropriate approvals in place. Research ethics proforma are also submitted for checking to ensure approvals are in place. Rapporteurs provide independent assessment. Doctoral students are required to include copies of their ethics proforma and approval letters in the appendices to their thesis. The University Policy stipulates that supervisors must ensure that appropriate ethical approval is in place for the students they supervise and that they must take reasonable steps to ensure the integrity of the student research which they supervise. This applies also to research projects in the University taught provision.</p>	
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**Commitment 4: We are committed to using transparent, timely, robust and fair processes to deal with allegations of research misconduct when they arise.**

Research misconduct can take many forms, including:

- **fabrication:** making up results, other outputs (for example, artefacts) or aspects of research, including documentation and participant consent, and presenting and/or recording them as if they were real
- **falsification:** inappropriately manipulating and/or selecting research processes, materials, equipment, data, imagery and/or consents
- **plagiarism:** using other people’s ideas, intellectual property or work (written or otherwise) without acknowledgement or permission
- **failure to meet:** legal, ethical and professional obligations, for example:
  - not observing legal, ethical and other requirements for human research participants, animal subjects, or human organs or tissue used in research, or for the protection of the environment
  - breach of duty of care for humans involved in research whether deliberately, recklessly or by gross negligence, including failure to obtain appropriate informed consent
  - misuse of personal data, including inappropriate disclosures of the identity of research participants and other breaches of confidentiality
  - improper conduct in peer review of research proposals, results or manuscripts submitted for publication. This includes failure to disclose
  - conflicts of interest; inadequate disclosure of clearly limited competence; misappropriation of the content of material; and breach of confidentiality or abuse of material provided in confidence for the purposes of peer review
- **misrepresentation of:**
  - data, including suppression of relevant results/data or knowingly, recklessly or by gross negligence presenting a flawed interpretation of data
  - involvement, including inappropriate claims to authorship or attribution of work and denial of authorship/attribution to persons who have made an appropriate contribution
  - interests, including failure to declare competing interests of researchers or funders of a study
  - qualifications, experience and/or credentials
  - publication history, through undisclosed duplication of publication, including undisclosed duplicate submission of manuscripts for publication
- **improper dealing with allegations of misconduct:** failing to address possible infringements, such as attempts to cover up misconduct and reprisals against whistle-blowers, or failing to adhere appropriately to agreed procedures in the investigation of alleged research misconduct accepted as a condition of funding. Improper dealing with allegations of misconduct includes the inappropriate censoring of parties through the use of legal instruments, such as non-disclosure agreements

Concordat Key Statements	Policy and Practice at SHU	Support, Actions and Recommendations for SHU
<p><b>Researchers will:</b></p> <ul style="list-style-type: none"> <li>• act in good faith with regard to allegations of research misconduct, whether in making allegations or in being required to participate in an investigation and take reasonable steps,</li> </ul>	<p><b>Policy and Process</b> The University’s Principles of Integrity in Research &amp; Procedures for Dealing with Allegations of Misconduct ensures good practice and details the responsibilities of individuals within the institution for</p>	<p><b>Recommendations for Researchers</b></p> <ul style="list-style-type: none"> <li>• To be aware of the University’s procedures</li> </ul>

<p>working with employers as appropriate, to ensure the recommendations made by formal research misconduct investigation panels are implemented</p> <ul style="list-style-type: none"> <li>• handle potential instances of research misconduct in an appropriate manner; this includes reporting misconduct to employers, funders and professional, statutory and regulatory bodies as circumstances require</li> <li>• declare and act accordingly to manage conflicts of interest.</li> </ul> <p><b>Employers of researchers must:</b></p> <ul style="list-style-type: none"> <li>• have clear, well-articulated and confidential mechanisms for reporting allegations of research misconduct</li> <li>• have robust, transparent and fair processes for dealing with allegations of misconduct that reflect best practice. This includes the use of independent external members of formal investigation panels, and clear routes for appeal (see the references section)</li> <li>• ensure that all researchers and other members of staff are made aware of the relevant contacts and procedures for making allegations</li> <li>• act with no detriment to whistle-blowers making allegations of misconduct in good faith or in the public interest, including taking reasonable steps to safeguard their reputation. This should include avoiding the inappropriate use of legal instruments, such as non-disclosure agreements</li> <li>• take reasonable steps to resolve any issues found during the investigation. This can include imposing sanctions, requesting a correction of the research record and reporting any action to regulatory and statutory bodies, research participants, funders or other</li> </ul>	<p>providing an environment conducive to such good practice. The document clearly details the procedures for reporting and investigating allegations of research misconduct, with contact points and timescales for completion of stages.</p> <p>The University has adopted a three stage approach: i) Initial, ii) Assessment and iii) Formal Investigation. The procedure will operate independently of the project management and the line management of the researcher(s) allegedly involved. The principles to be followed throughout are those of <b>fairness, integrity, confidentiality, prevention of detriment and balance</b>. The Head of Research Ethics (deputy chair, if there is a conflict of interest) will have responsibility to receive allegations of research misconduct, initiate and oversee the investigative process and correspond on behalf of the university with the accused and the accuser.</p> <p><b>Procedures for Staff and Students</b></p> <p>For clarity, the University Principles of Integrity in Research applies to all research undertaken by the University, including research undertaken by students. However, the Procedures for dealing with Allegations of Research Misconduct apply only to staff undertaking research. Allegations of research misconduct against undergraduate students or students on taught masters' level courses are dealt with in accordance with the Academic Misconduct Regulations for students. Allegations of research misconduct against doctoral or masters research students are dealt with under the Policy and Procedures for Dealing with Allegations of Research Misconduct against Doctoral and Masters Research Students. In cases where members of staff are also registered for research degrees, the appropriate procedure will be determined by whether or not the research in question is related to the research degree.</p> <p><b>Whistle-blowing</b></p> <p>Attention is drawn to the Public Interest Disclosure Act, 1998 which states that employees who disclose information on certain matters in good faith will be legally protected from being disciplined, dismissed or victimised by their employer as a result. Compliance with the Whistle-blowing Policy is compulsory; members of staff must ensure that they understand the requirements and attend the appropriate training and development sessions offered by the University.</p>	<p>and of the University's expectation that they will comply with its requirements.</p> <ul style="list-style-type: none"> <li>• To act in good faith with regard to allegations of research misconduct and recognise it does not include honest error or honest difference in methodological approach, research design, interpretations or judgements of data.</li> <li>• To report any observed instance of what appears to be research misconduct.</li> </ul> <p><b>Recommendations for SHU</b></p> <ul style="list-style-type: none"> <li>• To ensure that policy, procedures and points of contact in relations to research misconduct are clear and accessible to University staff, students and external bodies and individuals</li> <li>• To ensure compliance with the Whistleblowing policy</li> <li>• To ensure sanctions are appropriate and reported to the relevant regulatory/funding bodies</li> <li>• To ensure research participants are protected</li> </ul>
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<p>professional bodies as circumstances, contractual obligations and statutory requirements dictate</p> <ul style="list-style-type: none"> <li>• take reasonable steps to safeguard the reputation of individuals who are exonerated</li> <li>• provide information on investigations of research misconduct to funders of research and professional and/or statutory bodies as required by their conditions of grant and other legal, professional and statutory obligations</li> <li>• support their researchers in providing appropriate information when they are required to make reports to professional and/or statutory bodies</li> <li>• provide a named point of contact or recognise an appropriate third party to act as confidential liaison for whistle-blowers or any other person wishing to raise concerns about the integrity of research being conducted under their auspices. This need not be the same person as the member of staff identified to act as first point of contact on research integrity matters, as recommended under Commitment #3.</li> </ul> <p><b>Funders of research will:</b></p> <ul style="list-style-type: none"> <li>• publish clear statements of what constitutes research misconduct</li> <li>• ensure that recipients of funding are aware of requirements regarding the investigation and reporting of research misconduct, and that these are openly stated</li> <li>• work with employers of researchers to manage funding appropriately, including any staff supported by an affected project</li> <li>• treat all allegations with confidentiality and abide by data protection laws with respect to data management</li> <li>• take appropriate action when research misconduct is reported to them. In the most</li> </ul>	<p><b>Confidentiality</b> The University recognises that an allegation of research misconduct is serious and potentially defamatory, and therefore could be actionable in law. Consequently, all information submitted in relation to an allegation of misconduct will be dealt with confidentially and will only be disclosed to those parties involved in the investigation and judgement of the allegation, or as is necessary to progress the accusation, or as required by law.</p> <p><b>Sanctions</b> If the allegations of serious scientific misconduct are confirmed the University will apply appropriate sanctions as outlined in the policy. Where the research has been externally funded, the funding body will be notified of the outcome and the sanctions imposed by the University. If appropriate, relevant professional bodies will also be informed of the outcome and the sanctions being applied. Funding and professional bodies may also impose sanctions in these circumstances.</p>	<p><b>Recommendations Heads of Department and Research Centres</b></p> <ul style="list-style-type: none"> <li>• to ensure that a climate is created that allows research to be conducted with the principles of good research practice</li> </ul>
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serious case, this could include funding sanctions or mandatory improvements		
<b>Commitment 5: We are committed to working together to strengthen the integrity of research and to reviewing progress regularly and openly.</b>		
<b>Concordat Key Statements</b>	<b>Policy and Practice at SHU</b>	<b>Support, Actions and Recommendations for SHU</b>
<p><b>Employers of researchers will:</b></p> <ul style="list-style-type: none"> <li>• take steps to ensure that their environment promotes and embeds a commitment to research integrity, and that suitable processes are in place to deal with misconduct</li> <li>• produce a short annual statement, which must be presented to their own governing body, and subsequently be made publicly available, ordinarily through the institution's website. This annual statement must include: <ul style="list-style-type: none"> <li>• a summary of actions and activities that have been undertaken to support and strengthen understanding and application of research integrity issues (for example postgraduate and researcher training, or process reviews)</li> <li>• a statement to provide assurance that the processes the institution has 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</li> <li>• a high-level statement on any formal investigations of research misconduct that have been undertaken, which will include data on the number of investigations. If no formal investigation has been undertaken, this should also be noted</li> <li>• a statement on what the institution has learned from any formal investigations of research misconduct that have been undertaken, including what lessons have been learned to</li> </ul> </li> </ul>	<p><b>Reporting</b> The University has clear terms of reference for the governance of the Research Ethics Committees. FREC annual reports are reported to UREC for consideration and approval. Subsequently, UREC provides an Annual Report annually on business and operations to the Creating Knowledge Board. FREC's provide copies of all minutes to UREC and UREC provides regular updates to the Creating Knowledge Board</p> <p><b>Review and Development</b> The University commitment to continually improving standards and processes is exemplified by the continual programme of audit and review undertaken by UREC. Recent examples of activity include, but are not limited to the following:</p> <ul style="list-style-type: none"> <li>• Annual review of Research Ethics Policy and Procedures.</li> <li>• Quality assurance of online ethics review to assure efficiency of the process and concentrate research regulatory requirements in one place and provide effective record keeping for research across the university.</li> <li>• Additions to and revision of guidance documentation to meet the needs of researchers. This material is held in a single repository and is accessible to all staff, students and external bodies</li> <li>• Further checks on the compliance with research ethics review incorporated in to the Doctoral students' lifecycle paperwork.</li> <li>• Continuing mandatory ethics training (module 1) for all new students and advanced training (module 2) for students using humans or animals in their research</li> <li>• Delivering training in the university induction for new doctoral students and new academic and research staff</li> <li>• Annual audit of all sites files for NHS or Social Care research</li> </ul>	<p><b>Recommendations for SHU</b></p> <ul style="list-style-type: none"> <li>• to review annually the activities of UREC and its sub-committees</li> <li>• UREC to report annually to Academic Board and to make the report available to external bodies</li> <li>• UREC to subject its Research Ethics Policy and Processes to annual review including associated support and operations</li> <li>• To make this document updated annually available on the University external website for external scrutiny</li> </ul>

<p>prevent the same type of incident re-occurring</p> <ul style="list-style-type: none"> <li>• a 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</li> <li>• periodically review their processes to ensure that these remain fit for purpose</li> <li>• provide a link to the statement to the secretariat of the signatories to the concordat.</li> </ul> <p><b>Funders of research will:</b></p> <ul style="list-style-type: none"> <li>• periodically review their policies and grant conditions to ensure that they support good practice in research integrity</li> <li>• periodically review their processes and practices to ensure that these are not providing inappropriate incentives</li> </ul>	<p>projects.</p> <ul style="list-style-type: none"> <li>• Continuing development of research integrity, including a new extended online course and research ethics and governance training to develop and support staff and students.</li> <li>• Lists of research manager and researcher responsibilities under the Concordat prepared and circulated to all relevant staff annually.</li> </ul>	
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