

1. Preamble

City, University of London is committed to ensuring continued compliance with the Concordat to Support Research Integrity and to support and embed a culture of research integrity.

The Concordat to Support Research Integrity “seeks to provide a comprehensive national framework for good research conduct and its governance”. Universities UK developed the Concordat to Support Research Integrity with the funding and research councils, the Wellcome Trust and a number of government departments. It was launched on 11 July 2012.

Summary of the Concordat’s commitments:

- Maintaining the highest standards of rigour and integrity in all aspects of research;
- Ensuring that research is conducted according to appropriate ethical, legal and professional frameworks, obligations and standards;
- 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;
- Using transparent, robust and fair processes to deal with allegations of research misconduct should they arise;
- Working together to strengthen the integrity of research and to reviewing progress regularly and openly.

Compliance with the Concordat requires institutions to produce a short annual narrative statement to their own governing body that provides:

- 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);
- assurances that the processes they have in place for dealing with allegations of misconduct are transparent, robust and fair, and that they continue to be appropriate to the needs of the organisation;
- a high-level statement on any formal investigations of research misconduct that have been undertaken.

This is City’s first annual report and covers the period 1 October 2016 to 30 September 2017. The annual reports will highlight good practice and procedures as applicable to the year in question and will report on issues, developments and enhancements relevant to the institutional governance and operational framework for research integrity. The reports will be designed to be independent of previous years, and some repetition can therefore be expected in future reports.

Note that in this report research ethics is treated as a subdivision of research integrity.

2. Governance of Research Integrity at City, University of London

City expects its staff and students to seek to maintain the highest achievable standards in their research conduct. Support and guidance in achieving research integrity are provided through several routes:

- City, University of London Framework for Good Practice in Research
- Research Ethics Framework
- Research Governance through City's Research & Enterprise Committee which is responsible for the strategic direction and oversight of research and development of City research policies
- School and Departmental Research and Research Ethics Committees
- Other City policies and guidance that relate to research, including in particular Intellectual Property, Research Data Management, Data Protection and Information Compliance.

The Vice-President (Research & Enterprise) is the senior lead for research integrity at City, and is the institutional contact should anyone have concerns, comments or questions about research integrity at City. This information and the contact details for the Vice-President (Research & Enterprise) are clearly signposted on City's research integrity webpage.

The Vice-President (Research & Enterprise) is supported by the Research Governance & Integrity Manager in the Research & Enterprise Office. The Research Governance & Integrity Manager manages the Office's responsibilities in this area and provides support and advice to the Vice-President (Research & Enterprise), the Chair of Senate Research Ethics Committee and the Chair of the Research Governance & Integrity Committee. The Research Governance & Integrity Manager also liaises with other professional service departments, including the Graduate School, and Schools as necessary on matters relating to research integrity.

In March 2017 the Research Governance & Integrity Committee was set up to promote good conduct and encourage consistency in matters relating to research governance and integrity across the institution. The Committee's responsibilities include:

- to keep under review the City Framework for Good Practice in Research;
- to monitor institutional compliance with the Concordat to Support Research Integrity and the Procedure for Investigating Allegations of Research Misconduct;
- to oversee the development of principles, policies and procedures relating to research integrity in response to internal and external requirements;
- to ensure that research integrity is embedded in the existing researcher development training programme.

The membership includes representation from each of the institution's 5 Schools, Human Resources, Research & Enterprise Office (Research Support Services and Research Strategy & Compliance), Senate Research Ethics Committee and the Graduate School. The Committee reports to City Research & Enterprise Committee, chaired by the Vice-President (Research & Enterprise). The Research & Enterprise

Committee has research integrity as a standing item on its agenda to ensure it is discussed at the appropriate levels of City's Governance structure.

Senate Research Ethics Committee (SREC) is ultimately responsible for research ethics across the institution and for overseeing adherence to the policies and procedures set out in its Framework for Delegated Authority by City's thirteen local committees located in Schools and Departments. A system of delegated authority was implemented across City in 2011, in order to develop a coherent and consistent approach. The institution does not insist on Schools setting up local sub-committees of SREC where the volume of research is minimal, but policies and procedures to address research involving human participants, materials and/or data not in the public domain must be in place and agreed with SREC. The local research ethics committees submit copies of their minutes and approved applications to SREC and an annual report. SREC reports directly to Senate and the Chair is a member of Senate.

3. Developments and activities during 2016/17 to support research integrity

Research Ethics

During 2016/17 the following projects have been undertaken to support research ethics at City:

- i) Procedures for ethics approval to ensure that all research ethics committees deal with applications based on the level of risk of the project and not based on whether the researcher is a student or member of staff. This includes the creation of a new low risk application form and a risk checklist which will allow the applicant to ascertain which application form to use based on the level of risk of the project, how the application will be reviewed (e.g. proportionate review or full committee) and which research ethics committee the applicant should submit their application to.
- ii) It had been noted by a recent internal audit that the information provided by the various research ethics committees at City was inconsistent. A new hallway page for research ethics is therefore being created on the central research ethics webpages. The pages will encompass information about how to apply for approval; which research ethics committee the applicant needs to apply to; which application form to use; as well as templates, policies and procedures for all City's research ethics committees and guidance on a variety of topics such as internet mediated research, research undertaken abroad and verbal consent, and FAQs from across the institution. The hallway page will give staff and students a single place for information about research ethics at City. The pages will be developed further as necessary.
- iii) A business case to purchase an online research ethics workflow management system was submitted to the Resource Allocation Management Board (RAMB) in September. The RAMB was supportive of the proposal and further activities are now being undertaken to allow the identification of a preferred solution. The system will help to streamline the current practices across the institution, provide the tools to audit the local RECs to ensure best practice, legislation and institutional policies and procedures are followed. It

will also speed up the approval process for students and staff, and reduce the time burden on research ethics committee members, chairs and administrators.

Advice and policy development

i) Research Data Management

A new comprehensive guide to research data management has been created for the research webpages to replace the previous guidance. The guide provides staff and students with information about how to create, document, store, share, preserve and reuse data. In addition to new webpages, a digital repository for storage and open access of research data has been purchased to enable staff and students to make their data open access where appropriate. A policy on research data management is currently being developed. The policy will be finalised, approved by the Research and Enterprise Committee and other committees as appropriate, and implemented once the digital repository has been rolled out across City.

ii) Conflict of Interest

The draft policy on conflict of interest will be discussed at the Research & Enterprise Committee meeting in October 2017.

iii) Peer Review

The development of a policy on peer review is underway. The policy will replace the current guidelines and will ensure consistent processes across the institution. It is envisaged that the policy will be implemented in 2018 after consultation with Schools and approval by the appropriate institutional committees.

iv) Procedure for the Investigation of Allegations of Misconduct in Research

City's current procedure for the investigation of allegations of misconduct in research is under review by the Committee in consultation with the Associate Deans for Research and others as appropriate, and will be updated as necessary. The proposed new procedure will be discussed at the Research Governance & Integrity Committee meeting in early December 2017.

4. Training

Although training on research integrity and ethics is provided both centrally and locally, it is recognised that further development and resources for training of both staff and students are required and that research integrity needs to be embedded into the existing research development training. The Chair of the Research Governance & Integrity Committee and the Research Governance & Integrity Manager have been holding meetings with the Associate Deans for Research to discuss current training provisions in Departments and Schools in order to identify gaps where additional training is required. (Please see Planned Developments below for an outline of projects being considered for 2017/18.)

Below is a selection of training activities provided in 2016/17.

Cass Business School held workshops on research ethics and how to incorporate ethics into academic modules for all academic staff. Doctoral students were receiving training as part of their research methods modules.

School of Arts and Social Sciences provided training on the taught programmes and for doctoral students on research methods. This included research ethics and sessions on how to prepare a research ethics application.

School of Health Sciences arranged sessions on research ethics and governance for staff and workshops on research ethics, research governance, as well as sessions on research ethics approval for doctoral and Masters students, throughout the year. In addition, numerous undergraduate programmes had sessions on research ethics, governance, professional ethics and law.

School of Mathematics, Computer Sciences and Engineering organised workshops on research ethics for doctoral students, with some training available in parts of the School for Masters students on research integrity and research ethics.

The City Law School provided research seminars for doctoral students where issues around research integrity, ethics and academic misconduct were discussed. Online training resources are made available to doctoral students and staff. Masters and final year undergraduate students had access to similar training, particularly around research ethics where students were undertaking projects involving human participants.

Provisions delivered by the Research & Enterprise Office

- Research ethics session, delivered by Dr Lorna Ryan, Deputy-Chair SREC, open to all staff and doctoral students.
- Overview of City's Good Practice in Research and research ethics processes, delivered by Professor Ron Douglas, Chair SREC, at doctoral student induction.
- Research integrity & research ethics session, delivered by Ms Anna Ramberg to staff and doctoral students on the Research Supervision module.

Upcoming events

- A research integrity half day is scheduled for 2 November 2017, with James Parry, Chief Executive UK Research Integrity Office and Anna Ramberg, Research Governance & integrity Manager. The session will explore the challenges involved in ensuring that research is high quality and of high ethical standards, discuss notorious cases of research fraud and provide an introduction to City's policies and procedures.

5. Research Misconduct

Research misconduct is currently managed locally by Schools. A review is being undertaken to consider the procedures in place. Based on the review, a new procedure to ensure consistency, following the UK Research Integrity Office's procedure, will be developed and introduced in 2017/18.

Allegations notified to the Research & Enterprise Directorate

One formal investigation has been undertaken in 2016/17.

Type of allegation	Allegation received by School	Stage reached	Investigation result
Data breach	February 2017	Formal investigation undertaken by the Associate Dean for Research, Head of Information Compliance and the Chief Operating Officer and the Information Commissioner's Office informed. Investigation completed April 2017.	Staff development for the individual/s concerned would be undertaken to bring skills, knowledge and understanding to the appropriate standard and prevent any future recurrence.

6. Planned developments 2017/18

In addition to the ongoing activity mentioned in the previous sections, a number of new developments are planned to take place in the coming academic year.

- City's Framework to Support Good Practice in Research will be reviewed and updated. This work will take place in consultation with Schools.
- The accessibility to the information and user experience of the current research integrity webpages will be improved.
- Subject to finance approval, the implementation of the online research ethics workflow management will be rolled out to all Schools in the spring. This will include providing training to administrators and research committee members, and creating 'how to' videos for applicants.
- The Research Governance & Integrity Committee will consider the potential need for an institutional environmental ethics policy.
- Production of a leaflet providing information about research integrity, research ethics, and related training and policies will be developed and made available to staff and students across the institution.
- Work with Marketing & Communications to develop a communication plan to ensure a wider dissemination of policies, procedures and training.
- Further training will be developed. This will include both online resources as well as face-to-face training opportunities. Topics could include authorship, research data management and statistics.

- The possibility to run a lunchtime research ethics seminar series will be investigated in 2018, possibly in partnership with NatCen.
- A Research Integrity Day for staff and students will be held in spring 2018 to provide a forum to discuss issues around research integrity. The Research Integrity Day will include case studies and talks from internal and external speakers.

7. Committees, policies and guidelines supporting and promoting research integrity

Research Integrity <http://www.city.ac.uk/research/about-our-research/research-integrity>

Framework for Good Practice in Research <http://www.city.ac.uk/research/about-our-research/framework-for-good-practice-in-research>

Research Governance & Integrity Committee
<http://www.city.ac.uk/about/education/academic-services/academic-committees/research-governance-and-integrity-committee>

Research Data Management <https://www.city.ac.uk/research/about-our-research/research-integrity/research-data-management>

Senate Research Ethics Committee
<https://www.city.ac.uk/about/education/academic-services/academic-committees/senate-research-ethics-committee>

Research Ethics webpages (old pages) <http://www.city.ac.uk/research/research-and-enterprise/research-ethics>

Policy on research involving animals
http://www.city.ac.uk/_data/assets/pdf_file/0018/180432/City,-University-of-London-Policy-on-Reserach-Involving-Animals-V1.pdf

Intellectual property policy
http://www.city.ac.uk/_data/assets/pdf_file/0005/77063/City-University-London-IP-Policy-v0.86-1410101.pdf

Whistleblowing policy and procedure
https://www.city.ac.uk/_data/assets/pdf_file/0020/358022/Whistleblowing-Policy-20170509.pdf

Data protection and information compliance
https://intranet.city.ac.uk/staff/info_compliance/info_compliance.html

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