

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 London
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)	Academic Board 30 Jan 2024
1D. Web address of organisation's research integrity page (if applicable)	https://www.london.ac.uk/about/policies/research-governance/research-integrity-annual-statements
1E. Named senior member of staff to oversee research integrity	Name: Jo Fox, PVC (Research & Engagement)
	Email address: research@london.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: Sandrine Alarcon-Symonds (Research Policies & Business Intelligence Partner)
	Email address: Sandrine.alarcon-

	symonds@london.ac.uk
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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

Please describe how the organisation maintains high standards of research integrity and promotes positive research culture. It should include information on the support provided to researchers to understand standards, values and behaviours, such as training, support and guidance for researchers at different career stages/ disciplines. You may find it helpful to consider the following broad headings:

- Policies and systems
- Communications and engagement
- Culture, development and leadership
- Monitoring and reporting

1. Policies and Governing Structure

2. The University is committed to maintaining the highest standards of rigour and integrity in all aspects of research and to meeting its obligations under the Universities UK Concordat to Support Research Integrity (<https://www.universitiesuk.ac.uk/topics/research-and-innovation/concordat-support-research-integrity>) and the UK Research and Innovation Policy and Guidelines on Governance of Good Research Conduct (<https://www.ukri.org/councils/esrc/guidance-for-applicants/research-ethics-guidance/our-policy-and-guidelines-for-good-research-conduct/>).
3. As a component of this commitment, the University requires that all research projects undertaken under its auspices observe the University Code of Good Conduct in research and all of its associated policies and guidance as laid out here: <https://www.london.ac.uk/research/research-governance> .
4. The University's research integrity framework including research policies are overseen by the University Research Committee which reports to the University Academic Board. The Research Ethics Committee, which oversees all ethical matters on behalf of the University, reports to the Research Committee. Research activities are monitored and reviewed by the Research Committee. Research

integrity reports are reviewed by the Research Ethics Committee before being considered by the Research Committee and approved by the Academic Board.

5. Research and Engagement activities (including Public Engagement and Knowledge Exchange) fall under the remit of the Pro-Vice Chancellor (Research & Engagement), Professor Jo Fox. <https://london.ac.uk/about-us/our-people/pro-vice-chancellor-research-and-public-engagement>, who is the chair of the Research Committee, a member of the Vice-Chancellor Executive Group and a standing member of the Academic Board. The Pro-Vice Chancellor (Research & Engagement) aims to lead continuous improvement of the University's policies, guidance, and practice of research integrity.
6. The University has a set of Ordinances which support and strengthen the institutional research integrity framework. They are:
 - Ordinance 17 (Code of Student Discipline)
 - Ordinance 20 (Academic Staff)
 - Ordinance 21 (Equality, Diversity, and Inclusion)
 - Ordinance 23 (Public Interest Disclosure)

They are all available here: <https://london.ac.uk/about-us/how-university-run/university-governance/statutes-ordinances-and-regulations>.

it should be noted that a review of University ordinances is underway

B – Communications & Engagement, Culture and development

1. The University's commitment to research integrity is reflected and embedded in its institutional systems and culture and an ongoing programme of review and improvement.
2. Policies are reviewed formally every three years or when new governmental or funders' directives require earlier revision. Any revision of these policies is done through consultation including review and approval by the relevant internal committee. Employment policies are reviewed by the Human Resources Department and are subject to consultation by recognised trades unions.
3. The Research Services Team created a dedicated online section: <https://www.london.ac.uk/research/research-integrity> to promote policy and practice to ensure engagement and signpost institutional commitment to research integrity.
4. Communication of these policies is done in several ways including:
 - Inclusion in staff and student handbooks.
 - Intranet communications and internal briefings.
 - Inductions and staff meetings.
 - Staff and Student training (face to face and online).
5. The University continued to operate its Research Culture Forum, led by the new head of research and research policy. The January 2023 event focused on providing open and transparent space to explore what undertaking research at the University of London meant to academic staff and how to match expectations against practices. The May 2023 event focused on early career researchers and how the university could support their roles and career aspirations.
6. Staff meetings took place across the year led by the head of research and research partnerships. Visits to ULIP the UoL's overseas campuses were organised to ensure understanding of the research governance and infrastructure and how support was available to research active staff.
7. Staff and students' inductions continue to take place, clarifying expectations and

implementation of policies at the beginning of the year.

8. Members of the Research Ethics Committee have also met in January 2023 to discuss assessment practicalities and ensure that all reviewers undertake assessment and approval processes with confidence.
7. The University offers a wide range of training courses which supports research integrity for all researchers at all levels, on the University virtual learning environment, including:
 - Data Protection module (mandatory)
 - Research Ethics module (mandatory)
 - Safeguarding module
 - Academic Practice and Ethics
8. All academic staff have access to a mentoring programme which is overseen by the Learning and Development programme.

2B. Changes and developments during the period under review

Please provide an update on any changes made during the period, such as new initiatives, training, developments, also ongoing changes that are still underway. Drawing on Commitment 3 of the Concordat, please note any new or revised policies, practices and procedures to support researchers; training on research ethics and research integrity; guidelines for academic staff and students on the use of AI and a modification of regulations on the uses of AI, training and mentoring opportunities to support the development of researchers' skills throughout their careers.

[Please insert response]

1. The Research Services worked closely with the Legal department on research data management by participating in several meetings with staff and review management of personal data and confirming policies and practice.
2. The Research Services worked closely with the Learning and Development department to develop an online space (access is internal only) to provide signposted resources in one place to support career development and training opportunities for internal as well as external staff. Resources include research integrity courses and materials as well as specifically research ethics courses and materials.
3. The Research Ethics Committee continued to offer expert advice to students and staff on research integrity and ethics matters.
4. The Procedure to deal with academic allegations of misconduct in Research policy are being reviewed. The revised procedures will be considered in 2023-24.
5. Two more online research training modules are being created: one on research data management, which will be complemented by two toolkits; and one on research integrity. Launch date to be confirmed.
6. Debates took place on the specific topic of academic freedom in the context of international partnerships, on the Trusted Research agenda, Open Research (Open Access and Data management) and the rising challenges of artificial intelligence in

research. Consultations too place on academic freedom and international partnerships which allowed the university to develop a revised approach to due diligence. Policies and procedures are to be launched in 2023-24. Consultation on data management is still ongoing. The Research Committee approved the establishment of an Open Scholarship Working Group to review all aspects of open research, which supported the revisions of the University Open Access policy – launched in summer 2023. To support the Policy, a more interdepartmental approach between academic and library support services is being introduced.

2C. Reflections on progress and plans for future developments

This should include a reflection on the previous year's activity including a review of progress and impact of initiatives if known relating to activities referenced in the previous year's statement. Note any issues that have hindered progress, e.g. resourcing or other issues.

[Please insert response]

1. 2022-23 was a transitional year as the new head of research and research partnerships took up post working within a revised research services structure. Capacity has been stretched and the creation of new research integrity module has been delayed. Others on academic freedom and open access will follow.
2. The University continues to work on its approach to the use of AI and to understand the impact of artificial intelligence on research.
3. The administration of ethical reviews raised some challenges in 2022-23. It was agreed to commission a review of the process and resources attached to it in 2023-24.
4. The University is in the process of reviewing its research strategy which should further emphasise clarity and support for good research practice as a foundation of a positive academic culture.
5. The research governance and infrastructure framework function as a comprehensive research practice programme which integrates activities across UOL structures and initiatives to support integrity and ethics, open research, data management, reproducible and transparent research (including research software engineering), and responsible research. Our aim is to integrate an understanding of ethical research practice across UOL academic and professional communities.

Section 3: Addressing research misconduct

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

Please provide:

- a brief summary of relevant organisation policies/ processes (e.g. research misconduct procedure, whistle-blowing policy, bullying/harassment policy; appointment of a third party to act as confidential liaison for persons wishing to raise concerns) and brief information on the periodic review of research misconduct processes (e.g. date of last review; any major changes during the period under review; date when processes will next be reviewed).
- information on how the organisation creates and embeds a research environment in which all staff, researchers and students feel comfortable to report instances of misconduct (e.g. code of practice for research, whistle-blowing, research misconduct procedure, informal liaison process, website signposting for reporting systems, training, mentoring, reflection and evaluation of policies, practices and procedures).
- anonymised key lessons learned from any investigations into allegations of misconduct which either identified opportunities for improvements in the organisation's investigation procedure and/or related policies / processes/ culture or which showed that they were working well.

[Please insert response]

1. The University requires that all research projects undertaken under its auspices observe the **University Code of Good Conduct** in research and all of its associated policies and guidance as laid out here: <https://www.london.ac.uk/research/research-governance>
2. The relevant institutional policies which support research integrity at the University of London can be found here: <https://www.london.ac.uk/research/research-governance#policies-and-protocols-32231> . They include:
 - [Code of Good Practice in Research:](#)
 - Allegations of Misconduct policy:
 - Policy and procedures for responding to allegations of misconduct in research [being revised] (staff and fellows)

- Academic misconduct policy (students)
- Research Ethics
- Data Protection Policy
- Research Data Management Policy & Guidance
- Open Access Policy [new]

The monitoring of UOL research-related policies is included within the terms of reference of each policy. Standard practice is to review every three years, unless there is a need to review earlier, for example when a funder announces revisions of existing terms and conditions or actual policies. 2022-23 has focused on the Open Access Policy and on ensuring Academic Freedom and Freedom of Speech, two key traits of research at the University of London, are clearly and unequivocally embedded within the narrative.

Review of research policies is undertaken via the University governance structure as follows:

- The Research Committee, which reviews and develops research policies and monitors activities against institutional strategic objectives.
 - The Research Ethics Committee, which reviews and develops policies and protocols, and reports to the Research Committee.
 - The Academic Quality and Assurance committee which assures the quality of the teaching and supervision as well as the quality of the University of London degrees.
3. Any other research-related policies that are not immediately within the remit of the Research Committee are developed by the relevant departments in consultation with the Research Committee and approved by the Vice-Chancellor's executive group.

University wide relevant policies: <https://london.ac.uk/about-us/how-university-run/policies>

- Bullying and Harassment policy
- Equality, Diversity, and Inclusion policy
- Policy covering Anti-Fraud, Corruption and Bribery
- Modern Slavery Statement
- Safeguarding Policy
- University wide Ordinances: <https://london.ac.uk/about-us/how-university-run/university-governance/statutes-ordinances-and-regulations>. Meanwhile,
 - Conflicts of Interest policy Ordinance 8
 - Whistleblowing policy Ordinance 23

The University started a review of its policies and ordinances in 2022-23. The Research Policies and Business Intelligence Partner is working with the Director of Governance, Policy and Compliance to ensure best practice is embedded in all relevant research UOL policy and appropriately cross-referenced. This includes the Procedures for dealing with allegations of misconduct in research.

Individuals seeking advice on the University's misconduct procedure are able to contact the research services in the first instance. However, any confidential discussions can be directly addressed to the PVC (Research & Engagement). The University recognises that it

can be difficult for staff and students to report instances of research misconduct. The University's long-standing Whistleblowing Policy is designed to provide protections for those raising such concerns.

4. Review of misconduct in research is focused on individual instances only and is undertaken as part of the writing of the annual research integrity report. Students' misconduct report is submitted annually to AQAC annually.

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

Please complete the table on the number of **formal investigations completed during the period under review** (including investigations which completed during this period but started in a previous academic year). Information from ongoing investigations should not be submitted.

An organisation's procedure may include an initial, preliminary, or screening stage to determine whether a formal investigation needs to be completed. These allegations should be included in the first column but only those that proceeded past this stage, to formal investigations, should be included in the second column.

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	1	1		1
Plagiarism	1	1		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)				
<i>Other*</i>				
Total:				
*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.				
<i>[Please insert response if applicable]</i>				