



Research Integrity Annual Statement 2015-16

Supporting a culture of research integrity

1. The third commitment of the Concordat¹ (requiring institutions to support a 'research environment that is underpinned by a culture of integrity') was a particular focus for activities during 2015-16.
2. UCL's culture of integrity is a values-based culture in which adherence to standards and good research practice, as well as open discussion on integrity issues, is commonplace and an accepted part of normal research practices. It takes into account the different cultures that exist across UCL, such as within disciplines and teams, as well as the practicalities and potential difficulties that can arise when conducting research (a reality-based approach).
3. It is important that a culture of research integrity takes into account the everyday for researchers; across disciplines and at all levels of research. This is a key message for research integrity at UCL; that research integrity is important for *every researcher, every discipline, every day*.

Every researcher: from undergraduate students, through to post-doctoral researchers to senior academics.

Every discipline: though the particulars of research may vary across different disciplines and methods; the framework remains the same. This should also include an appreciation for the differences and commonalities across disciplines.

Every day: it includes the daily steps researchers take in order to ensure research has integrity at all stages. This includes how we as individuals collaborate and work respectfully with others.

Awareness raising activities

UCL wide activities

4. A survey on research integrity activities for 2015-16 highlighted a range of awareness raising activities taking place across UCL. The survey revealed examples of good practice across the university, which will be followed-up over time to feed into other activities, including the creation of a framework for research integrity training for UCL (see training section below).
5. The following is a summary of some of the awareness raising activities that took place during 2015-16.
 - The UCL Statement on Research Integrity and the principles of integrity have been embedded within UCL in a variety of ways, including as part of local discussions around research integrity (including at research planning and strategy meetings), within PhD supervision, and referenced within department and student handbooks. It

¹ www.universitiesuk.ac.uk/policy-and-analysis/reports/Pages/research-concordat.aspx

has also been used as a starting point for local postgraduate researcher inductions (including use of the research integrity website²).

- There are a number of staff across UCL ranging from designated Research Integrity Champions, Chairs of local Research Ethics Committees, Ethics Co-ordinators and Faculty Graduate Tutor to Vice Deans (Research) who provide guidance and advice on research integrity matters. Examples range from answering queries, creating local intranet resources and other communications, to providing statements around the significance of research integrity.
- Awareness raising activities ranged from discussions and interactive ethics and integrity Dilemma Game³ sessions at faculty research away days, to discussions at staff and student research committees, departmental monthly meetings, informal discussions, supervision, and consideration of ways to improve communication for students, to discussions of discipline-focused dilemmas, through to the revision of ethical codes and the creation of local intranet or Moodle pages.

6. The following are faculty wide examples of activities during 2015-16.

- Within the Institute of Education (IOE), research integrity was a key agenda item for the IOE Research Ethics Committee and the Research Committee, as well as being discussed during the recruitment of new research ethics reviewers.
- Within the Faculty of Laws a Faculty Ethics Team was created to oversee faculty strategy and to provide advice to staff and students in relation to ethics and integrity, to provide the PhD skills seminar and formally oversee PhD ethics statements, as well as to develop and implement the Faculty research ethics clearance process.
- Another example is the Bartlett Ethics Working Group, which was created in the previous academic year specifically to consider ethical and integrity related implications in relation to the built environment research, teaching and enterprise. Within this academic year the faculty funded the Bartlett Ethics Commission; appointing an Ethics Fellow, who has produced guidance for BA, MA and PhD students as well as training for PhD supervisors; is currently mapping the research conducted into built environment ethics by Bartlett academics, and ethical practice in the Faculty; and the ethical codes used by built environment practitioners.

An interactive ethical toolkit is planned to be launched in 2017 to provide guidance and case studies for built environment researchers and practitioners. Work will also commence on the creation of a Faculty Code of Ethics based on the faculty's principles of autonomy, sustainability, creativity, integrity as well as ethical processes and the four UCL Principles of Integrity.

Available Literature

7. Following the launch of the research integrity website last year, updates were made to take into account changes, such as the Nagoya Protocol;⁴ guidance on this is available on the research integrity website, and further detailed guidance for researchers will be published next year.
8. A leaflet entitled 'Understanding Research Integrity at UCL' was published for use by staff and students, summarising the content of the research integrity website as a guide for researchers. This is complimented with a smaller business card to act as a quick reference guide.

² www.ucl.ac.uk/research/integrity

³ www.eur.nl/english/eur/publications/integrity/dilemma_game/

⁴ www.ucl.ac.uk/research/integrity/the-nagoya-protocol

9. The leaflet and card are available to staff and students; being made available at several Provost's Welcome events for new staff as well as local integrity seminars and internal meetings. The leaflet can also be downloaded from the contact us page of the research integrity website.

Video Series

10. Filming began on a research integrity video series, which would act as one of the main awareness raising activities for staff and students. Five academic members of staff were involved, each representing different disciplines, including mathematics, law, geology, social science and physics.
11. The main video will focus on the meaning of research integrity, its importance, how it applies to research in different disciplines, as well as what it means to UCL and to individual researchers. It also highlights the aforementioned key message of 'every researcher, every discipline, every day'.
12. There will be additional videos discussing research integrity in relation to areas such as publication and authorship, handling criticism, peer review and conflict of interest. The completed video series will be published during 2016-17 and will be part of the introductory section of the framework for research integrity training for staff and students.

Guidance and support for researchers

13. Work has been undertaken across UCL, both centrally and within faculties, to review current and develop new guidance for staff and students, for example regarding the implications for researchers around the new EU/US Privacy Shield agreement⁵ and the Nagoya Protocol.
14. Consideration has been given towards creating guidance for researchers undertaking 'sensitive research', with a definition being agreed and specific guidance for researchers to be drafted in 2016-17.
15. In September 2015 the UCL Library Services published the Research Data Management website⁶ providing clear essential information, advice, frequently asked questions and how-to guides for the management of research data for the whole research lifecycle. This guidance was extended in the summer of 2016 by the Library Research Data Management Working Group to include discipline-specific resources to help researchers throughout their research projects; such resources include research data management guidance, metadata standards, data repositories and ethics guidelines.
16. In addition to one-to-one support, answering enquiries and reviewing of data management plans, the Research Data Management Team delivered 14 briefings in 12 different research faculties/departments, reaching more than 350 staff members. In addition, workshops were held for researchers (3) and research support staff (1).
17. Across UCL a number of faculty-based initiatives are underway; the following being a few select examples:
 - A re-working of local policies and support structures relating to PhD and staff research, including ethics, publication and collaborations. (*Arts & Humanities*)

⁵ www.ucl.ac.uk/legal-services/guidance/dp-data-transfer

⁶ www.ucl.ac.uk/research-data-management

- The promotion of research integrity in student inductions (BA, MA and PhD level) at the start of each academic year, as well as integrating ethics into the teaching of several courses, including Antiquities and the Law, Interpreting Archaeological Data and Texts in Archaeology. (*Social & Historical Sciences*)
- Consideration and preparation of discipline-specific guidance. (*Laws*)
- Piloting a Dilemma Game session, with a cross-section of postgraduate researchers, with a view to developing advice on relevant content. Revisions were made and Doctoral Graduate Tutors and Administrators trained, so that the session could be rolled out as a regular part of departmental activities in 2016-2017. (*Social & Historical Sciences*)

Training

18. The UCL Doctoral School directed that PhD researchers at UCL should undergo research integrity training. Much of the activity following this was focused on a series of locally held Dilemma Game training sessions; allowing the introduction of research integrity and discussions of issues that may arise. These have varied across UCL between single, discipline-focussed sessions to joint faculty and multi-disciplinary sessions, through to a series of sessions.
19. The focus for the next academic year will be the creation of a framework for research integrity training that will provide a clear pathway for both staff and students in relation to training on research integrity generally, as well as the elements of integrity.
20. Research integrity training can be delivered in a variety of ways, and the following are examples of initiatives during 2015-16:
 - Within the School of Life and Medical Sciences work began on the creation of a research integrity module for MSc students due to run in 2016-17.
 - The Faculty of Laws annually runs a Research Ethics & Integrity Skills seminar for all 1st year PhD students. The seminar includes a Dilemma Game session, as well as discussion and advice relating to research ethics statements which PhD students are required to write.
 - The Department of Information Studies in the Arts & Humanities Faculty, organised a session on research integrity and research ethics for departmental doctoral students, which included the Dilemma Game. A session for all staff is planned for next term (2016-17).
 - Within the Institute of Education, research integrity forms a core component of the mandatory training programme for all doctoral students. This includes an introduction to the UCL Research Integrity Framework, ethical codes of conduct, ESRC classification for research considered higher risk and the ethical approval process within the IOE. Projects chosen to illustrate ethical dilemmas, as well as the student's own work, are then used to apply this knowledge.
 - Within the Bartlett School of Environment, Energy and Resources (BSEER), each Institute has an Ethics Co-ordinator. In addition, each postgraduate taught course is required to include ethics training; with a nominated 'ethics teacher' for each of the seven courses, covering roughly 200 students. Presentations are available for shared use and updated regularly.
 - The Faculty of Mathematical & Physical Sciences organised around 20 Dilemma Game sessions jointly with the Faculty of Engineering Sciences. This included an initial train the trainer session with a mixture of Doctoral Graduate Tutors and other

academic staff. Mixing up the groups of students giving them the opportunity to hear different disciplinary perspectives on case studies.

- The Geography Department in the Faculty of Social & Historical Sciences introduced a new PhD training seminar in Term 2 of 2015-2016 for early stage PhD students. Running weekly for 10 weeks it offers a regular contact point and sense of postgraduate community as well as providing mentoring, information on supervision and opportunities to raise questions. The 2016-17 series will include a session on research integrity and the Dilemma Game.
 - The Electronic and Electrical Engineering Department, within the Faculty of Engineering, ran a 3-day induction session for PhD researchers from across the faculty covering a range of topics from presentation skills to ethics. Attendees reported that they found this approach very useful as it also provided a good opportunity to come together as a group and a feeling of being part of the wider department. Given this, it was decided to roll the 3-day induction session out for all new PhD students in the faculty; 5 separate sessions will be held throughout the year, with aim of having mixed (inter-departmental) groups
 - The Bartlett Faculty hosted a symposium on ‘Practicing Ethics: Positionality, Spatiality and Subjectivity in Dialogue’ in October 2015. The Symposium, co-funded by the Bartlett and the AHRC-funded London Arts and Humanities Partnership (LAHP), was part of a series on ‘Practicing Ethics’ co-funded by LAHP and the UCL ESRC Doctoral Training Centre.
 - The Library Research Data Management Working Group designed a course template to introduce research students to research data management. The template consists of a series of slides, lesson plan and guidance for delivering the course. This was tested in September 2016 (and later in December) with three groups of Masters and PhD students.
 - The Institute of Health Informatics within the Faculty of Population Health Sciences, offers a number of data and information governance courses, which PhD researchers are encouraged to attend, as well as opportunities to audit modules on MSc courses.
21. Further to this, the Research Degrees Committee set up an Integrity Training Working Group to review the current UCL current provision of research integrity training and web-based information, and to explore ways of providing research integrity training across-UCL. The Working Group will begin work in 2016-17.

Introduction to Research Support & Integrity

22. An introductory workshop is in the process of being created for 2016-17 as part of the Doctoral Skill Development Programme. The workshop will be open to postgraduate researchers across all disciplines and will provide a broad view of research integrity and the culture of research integrity at UCL, as well as some of the elements of integrity including research data management, data protection, research ethics and open access.

Reviewing and streamlining processes to support a culture of research integrity

23. The 2014-15 Annual Statement highlighted a revision of the current ethical review processes across UCL and the acceptance by the Research Governance Committee of the recommendations produced by the review.
24. During 2015-16 a pilot phase began in order to consider how the recommendations could be best brought into practice; taking into account the differing needs of faculties as well as disciplinary differences. The pilot will include a review of the recommended

documentation (application forms, risk checklists, etc) and the monitoring and reporting processes, as well as considering how the recommendations could be implemented, including the process for this.

25. Three faculties are undertaking the pilot: Laws, the Bartlett and Population Health Sciences.

Devolved governance pilot

26. A devolved governance pilot is being run in the Institute of Neurology, which will consider areas relating to governance and research integrity. The pilot group consists of representatives from each of the 8 departments within the Institute, which will meet regularly over 2016-17. The immediate focus has been on discussing the arrangements for peer review for UCL sponsored studies.

Culture of Scientific Research in the UK

27. In December 2014 the Nuffield Council on Bioethics had published a report on The Culture of Scientific Research in the UK presenting a number of areas that respondents believed were having both a positive and negative impact upon the culture of research. A review of the suggested actions for research institutions was undertaken, considering how UCL was currently meeting the suggestions as well as what additional actions could be taken to further support a positive research culture within UCL.
28. As part of UCL's commitment to transparency and open communication the report on the review was published on the research integrity website⁷. Below are updates on two of the identified actions, regarding: mentoring; and reviewing promotion processes to take into account a breadth of criteria, including those that contribute to UCL as a whole.

Mentoring

29. Support for mentoring across UCL is currently provided via the online platform UMentor, which has been in place since spring 2014. This system enables matching between mentors and mentees, as well as capturing mentoring activity. It also provides mentor/mentee development materials once registered. In addition to UMentor some faculties also provide local mentoring schemes, particularly for postgraduate researchers.
30. A review of central provision commenced this academic year, which included seeking responses from some users of the UMentor system. This review will continue during 2016-17.

New Promotions Framework

31. During 2015-16 work continued on a project looking into methods of assessment for promotion to take into account a breadth of criteria. A new framework was drafted which allows an assessment of an individual's impact; research impact, educational, enterprise, leadership and institutional citizenship. The draft was being prepared to go out for all staff consultation in 2016-17.

⁷ www.ucl.ac.uk/research/integrity/news-and-updates

Research Misconduct

32. The UCL procedure for investigating and resolving allegations of misconduct in academic research closely follows the UK Research Integrity Office's model whilst allowing some minor variations to fit with local circumstances and usage of terminology. Over the past year a review of the procedure has been completed, with the aim of ensuring a proportionate response to allegations and to enable greater expediency in considering allegations. The review focussed on seeking ways to clarify the role of the screening panel and to reduce the time taken to complete this stage of the process and consequently reduce the effect on all parties concerned. In light of the review, a pool of screening panellists from across all UCL's faculties has been formed from which to draw on to form screening panels. Training has also been developed and delivered in house for the pool members to ensure fair treatment. The revised procedure came into force on 1 February 2016.
33. Further ways to expedite the screening process have also been considered in 2015-16 that have included piloting screening via correspondence for straightforward cases that was already current practice at other institutions and has proved successful. It is also intended to allow for the Named Person to be able to resolve straightforward cases at the initial assessment stage where they are not considered to be significant and there is no intent to deceive. Consideration will also be given to whether alleged research misconduct by research students should be covered by this procedure or under other UCL regulations. It is intended that some further amendments be made to the procedure to incorporate these revisions to take effect from January 2017.

Summary of investigations

34. No formal investigations were undertaken during the academic year 2015-16 and no cases of academic misconduct proved. However, three cases were referred by screening panels for formal investigation that would be undertaken in 2016-17.