

# Annual Report on Research Integrity 22/23

## Section 1: Key contact information

Question	Response
<b>1A. Name of organisation</b>	University of East Anglia (UEA)
<b>1B. Type of organisation:</b>	Higher Education Institution
<b>1C. Date statement approved by governing body</b>	27 <sup>th</sup> November 2023
<b>1D. Web address of organisation's research integrity page</b>	<a href="https://www.uea.ac.uk/research/about-uea-research-and-impact/integrity">https://www.uea.ac.uk/research/about-uea-research-and-impact/integrity</a>
<b>1E. Named senior member of staff to oversee research integrity</b>	Name: Professor Brian Reid
	Email address: b.reid@uea.ac.uk
<b>1F. Named member of staff who will act as a first point of contact for anyone wanting more information on matters of research integrity</b>	Name: Dr Helen Brownlee
	Email address: h.brownlee@uea.ac.uk

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

### **Summary**

This Report is produced annually for the University Research Executive to consider and is presented thereafter to the University's Senate and Council to approve. To meet the requirements of the Universities UK *Concordat to Support Research Integrity (2019)*, the report provides:

- a summary of actions and activities that have been undertaken to support and strengthen understanding and the application of research integrity issues in the period 1<sup>st</sup> August 2022 to 31<sup>st</sup> July 2023;
- a statement on the processes the University has in place for dealing with allegations of misconduct in research;
- a high-level statement on any allegations of research misconduct in the reporting period, and
- will be made available to the public on the University's Research Integrity [webpage](#) once approved.

As this Summary has been written as a stand-alone document, it contains text which is repeated from the previous year where it covers the University's Research Integrity Statement, governance structure and procedures.

The University is fully committed to ensuring that all research undertaken by staff and students is carried out to the highest professional standards of research integrity, and that all researchers uphold the principles set out in the Universities UK *Concordat to Support Research Integrity (2019)*. The term 'Research Integrity' has been adopted internationally to describe "the core principles and responsibilities that should be common to all good research".<sup>1</sup>

Responsibility for maintaining the highest standards of research integrity at the University rests with the Pro-Vice-Chancellor for Research and Innovation (PVC R&I). The PVC R&I may be contacted using the email address [b.reid@uea.ac.uk](mailto:b.reid@uea.ac.uk). The University's Research and Innovation Services (RIN) support the PVC R&I and have a Research Integrity Manager who manages RIN's responsibilities in this area including promoting the culture of research integrity within the University. RIN is also the first point of contact for any queries on the relevant policies or processes to follow and can be contacted using the email address [researchintegrity@uea.ac.uk](mailto:researchintegrity@uea.ac.uk); the Associate Director (Postgraduate Research) would be the first point of contact for Postgraduate Research students and their supervisors. RIN also has

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<sup>1</sup> Universities UK, 'The Concordat to Support Research Integrity (2019)'. Available at: <https://www.universitiesuk.ac.uk/topics/research-and-innovation/concordat-research-integrity>

formal nominated representatives who act as legal representatives (under the Health Research Authority's (HRA) Sponsor requirements) for all NHS-related studies in accordance with the HRA's *UK Policy Framework for Health and Social Care Research* (HRA Framework) and can be contacted using the email address [researchsponsor@uea.ac.uk](mailto:researchsponsor@uea.ac.uk). RIN further advises on ethical, legal and regulatory requirements, and on behalf of the University submits annually an Insurance Assurance and Annual Report to the Office of Research Integrity (ORI) to renew its research misconduct assurance. In doing so, the University remains eligible to apply for or receive US Public Health Service research funds.

The University has an overarching committee, the University Research Ethics Committee (UREC), to define the University's *Research Ethics Policy* and operational principles. It also has oversight of the University's Research Ethics Subcommittees (S-RECs). UREC is led by a Chair appointed by the PVC R&I, and is constituted from the S-REC Chairs, the Associate Deans for Research (ADR), the Data Protection Officer, the Research Integrity Manager, a Lay Member, and co-opted experts when required. UREC is a Committee of the University's Senate.

To promote best practice in the University, there is a standing agenda item for each UREC meeting under which UREC members can raise issues/queries to air and share with their colleagues and seek comments pertaining to best practice which is cascaded down to researchers in their Faculties/Schools.

The S-RECs provide ethics reviews of UEA student and staff (including honorary positions) projects and teaching modules. They also undertake ethics reviews of internally-funded impact activities in support of the University's stance that ethics issues should be considered throughout the complete lifecycle of a project. Ethics reviews are also undertaken for academics in the Norwich Biosciences Institutes as agreed under Home Office regulations. During the reporting period, a total of 1945 ethics applications were reviewed by the University's S-RECs of which 1841 were given ethics approval during the reporting year. In addition, UREC reviewed 108 ethics applications for market research/research for internal evaluations mainly submitted by the University's Central Professional Services and the Students' Union; 100 of these applications were approved during the reporting year.

As a supporter of the *Concordat to Support Research Integrity (2019)*, the University is committed to upholding the Concordat's core values of honesty, rigour, transparency, care and respect, and accountability. UEA's focus remains on promoting good research practice, fostering a culture of research integrity and providing support for researchers to meet the requirements of the updated and strengthened Concordat, details of which are provided below:

### **Policies and Systems**

The University has an established set of research integrity policies, procedures and guidelines, which provide a framework for the highest standards of personal conduct in research for all UEA staff and students. These are available on RIN's Research Integrity and Ethics portal pages:

- *Guidelines on Good Practice in Research*

- *Research Ethics Policy* (supplemented with *Ethics Guidance Notes* covering a range of topics)
- *Ethics Review Appeal Procedures*
- *Policy for Approving the Integrity of UEA Research and Innovation Related Activities and Funding*
- *Procedures for Dealing with Allegations of Misconduct in Research*
- *Procedures for Investigating Allegations of Research Misconduct Made Against Students*
- *Joint NNUH/UEA Standard Operating Procedures* (for healthcare research)
- *Open Access Policy*
- *Research Data Management Policy*
- *Research Data Management Procedures and Guidance*

The University has a rolling programme of reviews for its research integrity policies, procedures and guidelines to ensure that they remain fit for purpose. UREC has been given responsibility to comment on and ratify those under review before being considered by the University Research Executive and Senate.

The University is also required to comply with UK legislation relating to research, as well as Concordats and codes of practice issued by funding bodies and collaborating organisations. The University has a longstanding subscription to the UK Research Integrity Office (UKRIO) and UEA researchers can access a wealth of research integrity resources free of charge from UKRIO's webpages. Since May 2020, UKRIO has been holding regular webinars on research integrity and related issues, which are free for UEA researchers to attend. These have been promoted to UEA's researchers via RIN's Research Integrity and Ethics portal pages.

To ensure that the University maintains its high ethical standards, the University has an online system, Ethics Monitor, to support the University's ethics review of projects (including research, UEA-funded impact activities, and market research/research for internal evaluations), which is used by staff and students across the relevant disciplines and funding schemes. Ethics Monitor is an invaluable tool to:

- Relieve the demands on staff time from operating a paper-based system, releasing time to enable a greater proactive approach to research ethics management.
- Streamline processes ensuring consistency across the organisation, adding to funder confidence in the University's delivery of ethical research and enhancing research integrity.
- Provide a single source of information for reference, case tracking, audit and reporting. Much of which was being carried out manually from diverse data sources.
- Assure transparency and assist with monitoring, comprehensive reporting and compliance for GDPR, Office for Students institutional funding, FOIA, and research funding organisations.
- Support the training of researchers and staff involved with the review of ethics and ensuring research integrity.

The response from users has been incredibly positive, and the University is continuously

developing the system in line with feedback from users.

Ethics Monitor has also been developed to record NHS ethics reviews and/or HRA governance reviews for studies sponsored by the UEA that fall under the *UK Policy Framework for Health and Social Care* sought via the external Integrated Research Application System (IRAS system).

The consideration of ethical issues during the complete lifecycle of a project (including impact activities) is part of good research practice within the University. The University requires mandatory ethics review of impact projects funded from its AHRC, ESRC, and MRC Impact Accelerator Award (IAA) funding streams. Ethics reviews are also mandatory for relevant activities funded from the University's internal funding schemes: UEA PVC Impact Fund; UEA App Development Competition, before the funding for these two schemes is released to successful applicants. The forms and processes for these ethics reviews have been subsumed within the University's online ethics review system. It is also mandatory for a proportion of the University's research grant applications to the Research Councils and the NIHR to undergo internal peer review prior to submission. These reviews are undertaken by designated panels that reflect the corresponding funder, including the AHRC, BBSRC, EPSRC, ESRC, NERC and the NIHR. Furthermore, research grant applications to the MRC, certain NIHR streams, as well as other non-Research Council funders are internally peer reviewed by the Biomedical and Clinical (B&C) Committee. UEA's training grant applications are also peer reviewed. Designed to help improve the quality of funding applications, these reviews provide opportunities to raise questions and advise on research integrity.

UEA's online learning platform, Blackboard, is used by several Schools to create dedicated Research Ethics pages. These not only provide information on research ethics and use of Ethics Monitor, but also provide links to RIN's portal pages to help staff and students navigate to the University's Research Integrity policies, procedures and guidelines.

All S-RECs have their own pages on the University's portal. These portal pages provide information on the ethics review process for each S-REC as well as guidance and contact information. They link to RIN's Research Integrity and Ethics portal pages and *vice versa*, as well as to the webpages and resources of professional bodies, including the BMC, NMC, Allied Health Professionals, Royal College of Nursing.

Course handbooks are produced by multiple Schools, providing course information, including UEA research ethics processes. Some S-RECs also produce FAQs and guidance regarding ethics review to assist with common queries and issues relating to the process at UEA. Online handbooks and documents for staff are also used as signposting tools to UEA's Research Integrity policies, procedures and guidelines.

The UREC Chair is easily accessible to provide guidance and advice to S-REC Chairs/Members, researchers and others within the University about issues relating to research ethics and integrity.

### **Communications and Engagement**

The revised Universities UK *Concordat to Support Research Integrity* was published in October

2019 and is an updated version of the first *Concordat to Support Research Integrity* issued in 2012. It was revised in relation to recommendations of the Science and Technology Committee's Report on Research Integrity, published in July 2018, including:

- strengthening and updating the Concordat in relation to training;
- improving processes for responding to allegations of misconduct; and
- identification of non-compliance by clarifying the requirements and expectations of higher education institutions.

Since its publication, the University has been addressing the requirements of the updated and strengthened Concordat.

Raising awareness of research ethics issues has been identified as a priority by the PVC R&I, the UREC Chair, the Head of Research Services, and the Research Integrity Manager. It is essential that the information reaches all staff and students to raise awareness of the University's requirements for ethics review. The S-REC Chairs take responsibility to cascade information to their relevant Schools.

To assist this, UREC has a MS Teams Group to enable communication between the UREC Chair, the UREC Secretary, the S-REC Chairs and the S-REC Deputy Chairs on best practice, challenges, FAQs etc outside of the three formal UREC meetings per year.

To raise the profile of S-RECs in the Schools, the UREC Chair has explored with the ADRs, the consistent inclusion of S-REC Chairs in School/Faculty research meetings. The current involvement of S-REC Chairs in UEA bodies varies across the Schools. This can range from sitting on School Boards to acting as a Deputy Chair on a Research Executive. Depending on the School, S-REC Chairs and other S-REC members may lead and contribute to research integrity and ethics discussions at School meetings, whilst others are afforded regular agenda items at School/Faculty Research Executive meetings. Information discussed at these meetings is usually cascaded throughout the Schools to ensure that important developments are regularly communicated to staff and students. The School's Research Director may also take the role of Deputy Chair on the S-REC.

The University's digital signage and e-Bulletins are also used by RIN to remind staff and students to seek ethics review of their relevant work/study at the start of each academic year. This approach is repeated in the early part of the spring semester particularly to provide a reminder for students doing their projects over the summer.

Regular email reminders at the start of the academic year and each semester are sent out by Schools to reiterate the importance and necessity of ethics review for studies. These emails also provide information on UEA's ethics review processes and links to relevant information. Staff, including supervisors, are also encouraged to remind students about UEA's ethics research processes, especially in relation to their dissertation projects.

UEA is a member of the Eastern Academic Research Consortium (Eastern ARC), alongside the University of Essex and the University of Kent. The Research Integrity Managers at UEA, the University of Essex and the University of Kent have bi-monthly research integrity network meetings to share best practices and experiences. The topics discussed have included:

Research Integrity Champions; Compliance with the *Concordat to Support Research Integrity*; annual audit of a HEI's ethics review process; Child Friendly Participant Information Sheets; and Research Integrity and Ethics training.

The University encourages all researchers to make research data available to use by others, and particularly supports open research data wherever this is possible to do so in an ethical and responsible manner. The University supports the *Concordat on Open Research Data*, and its policy on Research Data Management is commensurate with the goals of this Concordat.

As part of the University's ongoing commitment to support open research, the PVC R&I has appointed a UK Reproducibility Network (UKRN) Institutional Lead to support robust and transparent research at UEA, promote awareness and adoption of best open research practices, and training and development activities to contribute to research reproducibility and replicability. Also, the RIN Open Research team organises a programme of events to mark International Open Access Week each year.

### **Culture, Development and Leadership**

The University's values inform the application of the leadership at UEA to guide and facilitate researchers to maintain a high research standard at UEA. Within the University, it is the responsibility of the Vice-Chancellor, Pro-Vice-Chancellors, and Heads of Schools (or other equivalent senior officer in non-School units) and their formal delegates to ensure that an environment is created which allows research to be conducted in accordance with good research practice.

The University's commitment and leadership in this area are specified in the University's *Guidelines on Good Practice in Research*, on the University's Research Integrity webpage and RIN's Research Integrity and Ethics portal pages, and publicised in School bulletins/University bulletins.

The institutional leadership at UEA is also at the forefront of promoting a positive research culture. Responsibility for maintaining the professional standards of research integrity at UEA rests with the PVC R&I, who is supported in this area by the UREC Chair, the UKRN Institutional Lead, and the Research Integrity Manager.

School and departmental heads, research team leaders and senior administrators lead by example in promoting a positive research culture and researchers follow this lead.

To maintain the highest standards of research, and excellent research quality, the PVC R&I has established a Research Culture Group to promote and support a positive research culture at UEA, and to develop a Research Culture Strategy and Action Plan for the University, that will provide a synergy with the University's compliance of the *Concordat to Support Research Integrity (2019)*. The Group includes the UREC Chair, the Faculty of Social Sciences ADR, the UKRN Institutional Lead, the Head of Research Services, the Research Integrity Manager, the Open Access and Research Data Officer, the Library Director, the Associate PVC for UEA Doctoral College, an ED&I representative, and a representative from the People and Culture Division.

As well as promoting awareness of research integrity, UEA has developed education and training to strengthen a researcher's understanding of research integrity issues.

Emphasis is placed on the importance of research integrity and ethics throughout the whole process of project and research design. Ethics applications are rigorously processed and the benefits to improving the quality of research are highlighted to staff and students, including the expected rigour of peer review and publishing. For courses offering professional qualifications, focus is placed on the transferability and applicability of academic skills into a profession and the need for due consideration to ethics and integrity throughout a professional career. For researchers, research integrity and ethics is also an important aspect and expectation of their profession. When applying for funding and submitting papers for publication, it is expected that the integrity and ethics of a project has been carefully considered in the research design. Journal publishers frequently require evidence of ethics approval, and emphasis is also placed on the reproducibility of results. Researchers are therefore made aware of the importance of providing journals with data and codes. Whilst publication in a prestigious journal is considered a significant achievement, awards are also offered in some Schools for the publishing of high quality research papers.

New staff and students receive Induction training, which may refer to research integrity and ethics, but the main training is currently delivered through the bespoke Ethics training, and the Research Skills and Methods training delivered by the Schools. This training is tailored to the researcher's career stage and discipline. Training includes the knowledge and skills researchers need to have to assist on the following issues to ensure their research has integrity throughout the entire project lifecycle:

- study design and research rigour and reliability;
- consideration of ethics issues;
- data collection, management, sharing and storage;
- statistical methods, and
- good practice in disseminating research to support an accurate and complete research record.

Training on research integrity is offered to staff and students at UEA in multiple ways, depending on the needs and requirements of each School. Undergraduate student training is typically incorporated into teaching modules, with several courses offering dedicated modules on research methods that incorporate topics such as study design, statistical methods, replication procedures and ethics. Permission is also sought from students to use their projects as examples of best ethics practices when providing advice to students in subsequent years. Summer Schools have previously been offered to both UEA and external students, providing teaching on best practices for the translation of an experimental design through to its implementation. Ethics and research methods training is also incorporated into dissertation modules for many courses, and much effort is made to pair undergraduate students with supervisors having the relevant expertise for their planned dissertation topic.

Postgraduate taught (PGT) students continue to receive training through dedicated modules and/or workshops on research skills and methods. For some Schools, regular seminar series



are offered to students, with sessions occurring regularly on a fortnightly basis. These series may offer general training, including an introduction to research ethics, or they may provide more dedicated teaching on research methods, depending on the course.

All Doctoral Training Pathway students must undertake mandatory ethics training in order to pass their probationary period. This is delivered by the relevant Faculty/Partnership Training Pathway Lead, or by an external provider if the research involves procedures on live animals. Postgraduate research (PGR) students are also given opportunities to attend ethics workshops that include elements of role play, with scenarios aligning to the type of project undertaken at a PGR level. Other School-specific initiatives are also available to students. Ethics drop-in sessions, for example, may be hosted by the PGR Director. PGRs typically receive advice and training throughout their research project, whilst Schools offering professional doctorates provide training through dedicated modules or course components on research methods and research dissemination.

Upon starting at UEA, new academic staff receive an induction, providing an opportunity to discuss the various procedures within their School, including the ethics review processes. These inductions may also be complemented with seminars and workshops, as well as annual training sessions on several topics including research, teaching, integrity and ethics, depending on the School.

An institutional level Research Integrity and Ethics online training module for all new relevant staff across all disciplines and repeated every three years thereafter, will provide key entry level education to complement the established specialised training in the Schools. RIN currently offers bespoke training in research integrity to Faculties/Schools/Committees/individuals (staff and students).

All newly-appointed members of staff with responsibility for supervision, and existing members of staff taking on their first supervisory role, are required to attend the appropriate programme of development for new supervisors. In order to continue supervising postgraduate researchers, experienced supervisors are expected to attend continuing professional development sessions in relation to their supervisory role every three years. Research integrity and ethics is touched upon in this training.

There are a range of resources and opportunities to support managers and leaders at different stages in their career at UEA to manage and lead colleagues effectively. These resources complement the learning gained through on-the-job learning, practice, and shared experiences with others.

A wide range of additional learning, training and mentoring opportunities to support the development of researchers' skills throughout their careers are available, for example the University's Organisational Development Service (ODS) provides a wide range of professional learning and development opportunities to assist the professional development of researchers, including coaching and mentoring. LinkedIn Learning is available to all researchers at UEA and a content map relevant to research specific learning paths is available via the online UEA Research Advisory Forum. A targeted learning needs analysis for

researchers is planned for 23/24. Partnering with key stakeholders within research areas and RIN, the ODS and Professional Learning team will facilitate a review to strengthen and further embed learning and development practices for both transferable and peer-to-peer/job-specific needs. This will include supporting individuals, teams, line managers and supervisors to utilise personal development plans and schedule meaningful development conversations through the appraisal cycle, and increase the visibility and utilisation of existing mechanisms to raise learning and development needs at any time to enable the identification and delivery of targeted interventions and solutions to meet core or emerging requirements.

UEA utilises both mentoring and 'Buddy' systems to ensure staff and students are provided with formal and informal routes for seeking academic advice and support. The buddy system is designed to strengthen and improve the connections between education-focussed staff and research-focussed staff and PGRs. A supervisor of a PGT student may be allocated a Buddy to assist them to support the student through their dissertation project. These Buddies may also be a member of one of the S-RECs, assisting supervisors to support their students' ethics applications and providing guidance for the supervisor.

Staff are also allocated a Line Manager and Mentor upon joining their School at UEA. Mentors are assigned to new staff members based on the latter's contract type (research/teaching) and specialism, in order to provide support that is specific to the needs of the individual. Mentees requiring ethics knowledge in a certain area are also likely to be matched with mentors possessing the required ethics expertise in that specialism. The Eastern Arc runs a Mentoring Scheme, matching mentors and mentees across the three partnering institutions (UEA, the University of Essex and the University of Kent). This offers non-hierarchical, professional support outside of the institutional, managerial and reporting structures that might be found within the mentoring programmes of a single university. It also provides opportunities to gain new perspectives on behalf of the mentor and mentee, including insights into the practices of other institutions and professionals.

As part of the University's Research Activity Planning (RAP) annual exercise, researchers undertake regular meetings with their Directors of Research and/or Heads of School to discuss their projects and this involves discussions and raising awareness of the ethical considerations for their studies. Funds may also be provided to research staff members to attend conferences and external training in research skills. Some Schools also utilise Time and Motion audits to evaluate the amount of time devoted to training and to aid in the provision of time and space afforded to researchers to learn and develop.

In the case of students, supervisors provide a first point of call for queries relating to research integrity and ethics. If additional advice is required, students are encouraged to contact the relevant S-REC, either directly or through their supervisor. Schools also operate a system of Peer Assisted Learning (PAL), whereby final year undergraduate students provide support and advice to undergraduates in their first and second years at UEA. Postgraduate students also provide support to undergraduates as part of this system. Some Schools aim to provide spaces and opportunities for students to come together and discuss their work with other students. The University's Learning Enhancement Team may also be involved, giving students the

opportunity to seek further advice.

Some Schools hold regular Research Forums, providing opportunities for staff and postgraduate students to discuss specific projects and the ways in which they are managed, including sharing knowledge of research methods and ethics considerations. These Forums are an open space to build people's understanding of good research practices. Staff from RIN are also invited to contribute to these discussions. Schools are also introducing new initiatives, for example, the introduction of a 'Research Exercise Framework (REF2028) Environment Action Plan' in one School, includes plans to promote the School's research culture. This will include areas such as mentoring, research dissemination and support for writing grant applications. Research Culture seminars have also been launched that encourage the presentation of research projects by undergraduate students, postgraduate taught students and Early Career Researchers; postgraduate research students already have opportunities to do this.

Whilst the University provides guidelines on best research practices at an institutional level, it also encourages the adaptation of specific guidance at a Faculty and School level to better reflect the needs of a School or specific area of study, and to help develop their specific best research practices. These may also be combined with guidance and information from professional bodies. Research Team Leaders undertake regular meetings with their Research Groups to discuss best research practices with regards to their particular research. Team Leaders also invest considerable time in discussing experimental design with Postdoctoral Research Associates (PDRAs). Line Managers may also be involved in the practical planning stages of projects for research staff starting their first research projects. Local guidance designed to assist with raising awareness and promoting academic research has also been reintroduced in the form of 'Research Dissemination' policy briefs.

Collaboration across Schools and Faculties, as well as with external institutions, is encouraged, providing opportunities for discussions on best research practices. Students can engage across multiple disciplines and experience different research practices through involvement in larger collaborative projects at the University. The EDESIA: Plants, Food and Health PhD Programme at UEA, for example, provides PGRs with access to a wide range of expertise and facilities in plant-based food and health across the University and the wider Norwich Research Park before deciding on a specialism in their second year of research.

Self-reflection also forms an important aspect of research culture and is emphasised in the research methods training and ethics review processes. Questions included on the University ethics application form also assist with this process of self-reflection and the importance of the research to be undertaken, for example the form asks, 'What impact will the research have?'.

Schools also take part in external initiatives related to research culture. One example is the Replication Games, a one-day event organised by the Institute of Replication that promotes collaboration in the replication of papers published in high-ranking journals. Such events help promote research integrity and reproducibility, as well as creating discourse in methods of best practice. UEA hosted the Norwich Replication Games on 10<sup>th</sup> July 2023, with a focus on

the replication of data in economics and political science papers.

### **Monitoring and Reporting**

The minimum requirements of the Concordat: producing an annual report on research integrity and having named primary contacts for research integrity on the University's [website](#), have been in place at UEA for a number of years.

Alongside UREC, the University with the Norfolk and Norwich University Hospital (NNUH) Trust operate a Joint Research Governance Committee and Joint Research Governance Operations Group overseeing healthcare research within the NNUH Trust and the UEA, under the HRA Framework.

Schools at UEA use several methods to ensure that research is conducted in accordance with standards of best research practice and integrity. For staff, such topics are embedded within induction sessions and training received within the School, whilst appraisal meetings also provide ongoing opportunities to monitor and discuss methods of best research practice and integrity. Depending on the School, there may also be a reporting mechanism to the Director of Research relating to activities being undertaken as part of an individual's research.

For students, these principles are heavily embedded in relevant modules, notably those containing a research component, such as dissertation modules. This can also be monitored using the Module Level ethics approval process, allowing the relevant S-RECs to assess the type of project being undertaken by students in a particular module. A new procedure is also being considered in one School in regard to best research practice. This includes a proposal for all taught student project data to be stored in a central location, giving supervisors access to this data and to ensure consistency in this approach across all the student projects in that School.

The Schools at UEA also provide several informal channels to assist individuals who may wish to raise concerns regarding research integrity and its implementation at the University. These may exist as part of the UEA Supervisor and Mentor pathways for students and staff respectively, as well as discussion opportunities with Line Managers, Heads of Schools and Directors of Research, depending on the School's approach. S-REC Chairs are also readily accessible, as are other S-REC members for those S-RECs representing a Faculty. Consideration is also being given to the creation of 'safe spaces' within some Schools to help encourage discussions around research integrity without the fear of recriminations for staff and students.

Opportunities to provide feedback on the School's research environment are provided in several ways: 'Research Away Days' incorporate discussions on undertaking research and include consideration of research integrity and ethics. Regular discussions take place across the Schools, including School monthly meetings, Research Group meetings and Executive Meetings. In some instances, representatives for undergraduate and postgraduate research are invited to attend the latter, allowing for information to be disseminated to the wider student body. Students are also offered opportunities to provide feedback in the form of

surveys.

Each year Senate gives assurances to Council on the activities undertaken to support and strengthen understanding and application of research integrity issues across the University.

### **Changes and developments during the period under review**

The University's research integrity policies, procedures and guidelines are subject to scheduled reviews every three years. UREC has been given responsibility to comment on and ratify those under review before being considered by the University Research Executive and Senate. During the year, the following reviews have been initiated and changes ratified by UREC:

- *Procedures for Dealing with Allegations of Misconduct in Research* (last reviewed and approved by Senate in June 2020).
- *Policy for Approving the Integrity of UEA Research and Innovation Related Activities and Funding* (last reviewed and approved by Senate in June 2020).

The Procedures and Policy were approved by the University Research Executive on 26<sup>th</sup> January 2023 and by Senate on 22<sup>nd</sup> February 2023.

A draft University *Export Controls Policy* is currently in preparation and is expected to be approved in 23/24. Also, a new *Internet Monitoring and Filtering Policy* has been approved by the University and will be implemented in 23/24.

The revised *Plagiarism and Collusion Policy* was approved by the Learning and Teaching Committee in June 2022. Phase 2 in 22/23 looked at further changes and enhancements, including the University's position on the use of artificial intelligence software to write material for assessment. The further revised *Plagiarism, Collusion and Contract Cheating Policy* was approved by the University's Learning and Teaching Committee and Senate in June 2023.

Reviews of the Joint NNUH/UEA Standard Operating Procedures (SOPs) continue, with the UEA review being undertaken by the most appropriate person(s). Additional SOPs have been introduced as required over the last year, as identified by both the NNUH and UEA teams.

Real life experiences help to improve the University's research integrity documentation, for example, secondary datasets are routinely used within UEA for research and teaching purposes. UREC made minor amendments to the University's *Research Ethics Policy* to refer to secondary data including human participants, and revised the *Ethics Guidance Note* on 'Research Involving Secondary Data' providing examples to help clarify when ethics approval is required for the usage of secondary datasets. To assist the ethics review of these projects, a new series of questions have been added to the ethics application form in Ethics Monitor.

UREC has revised UEA's Child Friendly Participant Information Sheet and Consent Form template to ensure that its researchers provide children with the same information about what they will do with the child's personal data as they would give to adults.

In August 2021, the University improved its research ethics practices through the

implementation of a new online ethics review system, Ethics Monitor. In response to feedback from users of the system, The University has continued to develop the system including the release of new core functionality to help supervisors better support their student's ethics applications, and to assist the feedback of ethics reviewers' comments. The University has taken part in User Group discussions with Cayuse regarding UEA's priorities on the Ethics Monitor 'Roadmap' for further product development/enhancement. In line with changes to Ethics Monitor, the UREC Chair has updated the training videos for Applicants and Supervisors, and created a new training video for Ethics Reviewers.

Significant work has taken place within UEA to clarify the access researchers in the Norwich Biosciences Institutes have to UEA's ethics review processes. In addition, there have been discussions about external organisations which have no affiliation to UEA being able to submit an ethics application to UREC to seek a favourable ethics opinion only.

The University receives a large number of requests from external researchers or organisations to recruit UEA staff and/or students as research participants. To ensure that these requests have undergone an adequate process of ethics review and comply with the University's regulations, a new procedure is being trialled within UEA, whereby UREC will consider the external request and give permission or not for the recruitment to take place.

UREC has been developing a new in-house online Research Integrity and Ethics e-training module, which will be made available to relevant new UEA staff and provide a refresher every three years. It will provide a general introduction to research integrity and ethics, including signposting to UEA's research integrity policies, procedures and guidelines, and will complement the specialised ethics training already available in the Schools. Researchers will be asked to spend a short time reflecting upon their own work and research integrity/ethics considerations as part of the training.

The Student Insight Review Group (SIRG) was set up at UEA in early 2020 in response to the increasing number of research opportunities and communications being sent to UEA students. RIN has worked with SIRG to streamline the ethics review process and the SIRG review process to run in parallel within Ethics Monitor and to remove the additional SIRG paperwork. This has greatly improved the researcher experience and the efficiency of the reviews.

The UREC Chair, with support from the PVC R&I, has been working with UEA's Digital Change Team and Procurement Team to have the details of UEA approved transcription software for use in research projects signposted better to researchers on UEA's portal pages.

Staff regularly take part in external initiatives to ensure they have up-to-date knowledge of the frameworks, standards and obligations that apply to their work and areas of expertise, and take up opportunities to contribute and influence developments in external policy and strategy pertaining to research integrity, for example in 22/23:

- UEA contributed to the UKRI Research Organisation Consultation Group's review of the UKRI *Guidance for Research Organisations on the Investigation of Research Misconduct*.
- UEA volunteered to take part in the UKRI 2022 pilot to implement a template for the Annual Research Integrity Report to support consistency of the Report for sector-wide

analysis.

The University's new Research Culture Group launch took place on 25<sup>th</sup> January 2023. The launch was well received, and it provided an opportunity for early discussions on Research Culture at UEA. The Group will be holding a wider consultative process in 23/24 to inform the development of the University's Research Culture Strategy and Action Plan, and in particular building on UEA's values (collaboration, empowerment, respect, ambition). In 22/23 the Research Culture Group initiated the inclusion of new criteria in the University's Academic Handbook Progression to recognise the contribution academics make to a positive research culture at UEA, and to recognise an academic's contribution to making their research data open.

A new AI Generative Technology Working Group has been set up in UEA to establish a set of recommendations and training on the use of AI across a number of areas in the University, including research integrity, ethics, and open data. The Group is led by Professor Kay Yeoman and comprises specialists across the University.

The University's *Data Protection Policy* has been reworded to clarify that when students are processing personal data involving living identifiable individuals as part of their course of study or research, they are doing so for UEA purposes, and thus the University will be the Data Controller. This Policy and the Data Protection Legislation will apply to these students.

The University holds an active Office for Human Research Protections (OHRP)-approved Federal Wide Assurance (FWA). This Assurance applies whenever the University becomes engaged in research on human subjects, conducted or supported by any US federal department or agency that has adopted the US Federal Policy for the Protection of Human Subjects. The expiration date of the FWA has been extended to 12<sup>th</sup> April 2024.

The University is a member of the UK Reproducibility Network (UKRN), and Dr Stephanie Rossit is the UKRN Institutional Lead. During 22/23, the UKRN Local Leads have run a successful series of hybrid ReproducibiliTeas with talks by national and international speakers. The goal of the UEA ReproducibiliTeas is to raise awareness and foster training about reproducible research practices across disciplines. All events were open to UEA and externally. Recordings have been uploaded onto the ReproducibiliTeas YouTube channel. This was a collaboration with UEA library staff, who helped advertise these events and host the schedule on their LibGuides website.

UEA Code Clinics have been developed with the goal of fostering best open research practices of sharing code, which have received excellent feedback by students and staff and will be a useful resource for researchers across UEA to adopt this open research practice, which is now mandatory for journals such as the BMJ<sup>1</sup>.

UEA has joined the UKRN Open Research Program (ORP) as an unfunded institution. This is an important milestone for UEA as it demonstrates the University's commitment to foster, develop, evaluate, and adopt the best reproducible research practices. Enhancement of research practices to improve reproducibility is a priority for UK government, parliament, funders, and publishers. The objective of the ORP is to foster and facilitate coordination and



sharing of practices across participating institutions nationally, and the REF provides a unique opportunity to evidence success of ORP projects. For instance, its work on open research indicators will enable institutions to design and test solutions that meet their aspirations and needs; institutions will thereby be well-placed both to inform decisions by the REF team as the details of REF2028 are refined, and to respond to those decisions. In fact, it's notable that UEA submitted an expression of interest to be a case study for the Open and Responsible Researcher Reward and Recognition project (OR4).

UEA staff have completed the Open Science Train-the-Trainer course delivered by the renowned Center for Open Science (COS, USA). The course was developed by COS to provide participants who already have basic working knowledge on open science to further strengthen their knowledge and practical skills in open science adoption and learn about how to teach COS's Openness and Reproducibility Research Practices Training to other researchers or practitioners within their institutions or communities. Upon completion, a Certification of Completion is jointly issued by UKRN and COS as recognition. The curriculum of the course was curated from use cases developed in collaboration with the community of open researchers that COS engages with. Training sessions were led by experts in open scholarship trends and technology from COS. Through real world examples and hands-on activities, participants walked through material that enables them to recognise reporting guidelines and good practices, document their research planning, develop collaborative environments for data management on Open Science Framework (OSF), and utilise ways to share their research outcomes to maximise their discoverability and citation. In parallel, the pedagogical methods used to develop, facilitate, and adapt the modules to participant communities of research were shared, discussed, and demonstrated. All activities and resources were prepared, implemented, and made openly available under CC-BY license in OSF, a dynamic, free project management tool. The UEA staff who completed this course are now preparing to deliver this to other UEA staff in 23/24.

<sup>1</sup>*BMJ* 2023; 382 doi: <https://doi.org/10.1136/bmj.p1609>

The RIN Open Research team set up a number of events and attended School meetings to provide updates on the revised UKRI *Open Access Policy*, as well as providing information on publishing agreements that allow UEA authors to publish their journal articles as gold open access at no additional cost. Throughout 22/23, the RIN Open Research team provided online and face-to-face UEA training on data management and archiving with particular focus on the digital aspects of this. Training is provided to new members of staff in RIN, in MED and to PGR students across the faculties as part of regular training events. Additional training is also provided on request.

The RIN Open Research Team also organised a programme of online events to mark International Open Access Week from 24<sup>th</sup> to 30<sup>th</sup> October 2022. The events were designed to help researchers make their work (publications and datasets) openly available, as well as helping researchers with using Pure to develop a public profile to showcase their research and engagement activities publicly through the University's portal. There were also updates on the latest news on open access within the UK and internationally, with the sessions on open access



publishing deals and the updated UKRI *Open Access Policy* being of particular interest to many UEA researchers.

ORCID provides researchers with a unique digital identifier to facilitate the correct attribution of research activities and outputs and so serves to improve the researcher's recognition and discoverability. Increasing numbers of current staff have entered their ORCID into Pure, and have also enabled the export of publication information from Pure to ORCID which helps maintain complete and up-to-date publication records, and facilitates reporting in ResearchFish.

Plan S is very important for UEA researchers, with the Wellcome Trust, UKRI and NIHR broadly aligning their open access policies with the principles of Plan S. The update to the UKRI *Open Access Policy* which came into effect on 1<sup>st</sup> April 2022 for journal articles and conference proceedings, represented a significant change for UEA's UKRI-funded authors and RIN has continued to engage with Schools and Faculties to provide help and advice to facilitate compliance with the policy.

Work around Transitional Agreements (TAs) with publishers, which allow corresponding authors to make their work open access at no additional cost to the authors as well as covering 'read' access to subscription journal content, has been continuing. These agreements are being negotiated by Jisc on behalf of the UK HEI sector. RIN and the Library have been working together closely to ensure that UEA provides input to Jisc on these deals, and to assess each deal on its benefit and relevance to needs of UEA researchers. The most significant deal to be renegotiated during 22/23 is one with Springer Nature; the negotiations for this required frequent input from the HEI community. The previous Springer Compact agreement has been in use at UEA for a number of years and was one of the most easy-to-navigate and widely used deals amongst UEA authors. As well as former Palgrave journals, the new deal now incorporates some of the Nature Research journal portfolio; the open access charges associated with these journals is very high and so this aspect of the agreement will have a significant positive effect on UEA's publishing.

The Rights' Retention Strategy (RRS) is an important feature of Plan S principles which allows authors to make their work immediately available through an open access repository, without the need to pay an Article Processing Charge (APC) and provides a route to meeting open access requirements of the Wellcome Trust, UKRI and other funders. The use of RRS is currently encouraged but not required by the University's *Open Access Policy*. UEA's Research Culture Group launch event provided an opportunity to raise awareness of RRS more broadly across the University and prompted a lot of interest from researchers about how they can use this approach when submitting their research to journals.

Details for UEA Sponsored studies that have NHS ethics and/or HRA governance approvals are now captured on Ethics Monitor, along with details of the individual research sites including when they were given the green-light to start recruitment. For studies that fall under the Medicines and Healthcare products Regulatory Agency sponsored by NNUH with a UEA researcher as the Chief Investigator, the basic information is being recorded on Ethics Monitor to give oversight of all health and social care studies where UEA researchers are undertaking

the role of Chief Investigator.

The Schools at UEA continue to improve their teaching of research integrity and ethics. This has included improvements to the delivery and rationalisation of ethics training. Some S-REC Chairs, for example, have begun to provide training sessions across all the Schools overseen by their S-REC, in order to standardise the training offered and to avoid conflicting advice between Schools. New ethics workshops and monthly ethics training sessions have also been introduced for postgraduate students, as well as drop-in sessions for staff and students.

Further training and advice have also been introduced, including training sessions for supervisors to aid their support for undergraduate and postgraduate students, and dedicated training for undergraduates in a School undertaking ethics reviews for the first time.

New ethics training sessions, including the use of Ethics Monitor, have been delivered by S-REC Chairs to staff in their respective Schools, and new specific School level guidance documents have also been introduced.

The S-RECs have also continued to standardise and improve their ethics review processes. This has included:

- restructuring to better reflect UEA practice and to streamline their S-REC membership to have a dedicated pool of ethics reviewers.
- increasing their membership to better reflect the changing distribution of the ethics applications being reviewed.
- recruiting external/lay members to the S-RECs.
- providing Module Level ethics approval for the first time.

S-REC Chairs have worked hard to increase the visibility and awareness of research integrity and ethics. They have increasingly raised these topics at School meetings to ensure increased exposure to the wider staff and student bodies at UEA. The S-REC Chairs maintain regular contact with the other S-REC members to discuss developments and information relating to research integrity and ethics.

### **Reflections on progress and plans for future developments**

In 23/24, the following scheduled reviews will be initiated by UREC and reviewed within the University:

- *Research Ethics Policy* (last reviewed and approved by Senate in June 2021)
- *Ethics Appeal Procedures* (last reviewed and ratified by UREC in January 2021)

These documents will be submitted for approval by the University Research Executive in January 2024 and by Senate in February 2024.

As Ethics Monitor continues to evolve, the training videos and user guides for Applicants, Supervisors and Ethics Reviewers will require updating, and the S-REC Chairs will continue to work with supervisors to be more aware of their responsibilities in supporting their student's

ethics applications. The system generated Participant Information Sheets (and Parental/Other Responsible Person equivalents) and Consent Forms (PIS/CF) will be reviewed to ensure that these documents contain all the information that must be provided under UK GDPR when collecting personal data from individuals, and are clearly and concisely worded.

The University's *Whistleblowing Policy* (officially known as Public Interest Disclosure) will be reviewed by UEA's People and Culture Division in discussion with the Chief Resource Officer, who is the named contact for disclosures under the University's *Public Interest Disclosure Procedure for Staff to Raise Concerns about Malpractice*. RIN will also be involved in any revisions to ensure that these guidelines and procedures, and the University's *Procedures for Dealing with Allegations of Misconduct in Research* complement one another.

UREC has agreed that it would be very beneficial to have short Ethics Case Studies based on real-life experiences, which illustrate ethics issues and promote good research practices to help other researchers or members of the S-RECs.

The Research Culture Group will be holding a wider consultative process in 23/24 to inform the development of the University's Research Culture Strategy and Action Plan, and in particular building on UEA's values (collaboration, empowerment, respect, ambition).

The University will address having an equivalent of the Student Insight Review Group (SIRG), to review studies recruiting UEA staff to provide advice on whether these studies can go ahead, what promotional activity can be carried out and timing clashes with planned staff surveys that are already being run centrally.

UREC will continue developing the online Research Integrity and Ethics e-training module to provide institutional level introductory training. The launch is expected in 23/24.

UEA now has the functionality to carry out end of reporting year audits in Ethics Monitor. This will allow checks on whether applicants are completing applications accurately and if reviews are being conducted according to the University's policies and procedures, and thus providing the University with opportunities to improve its processes.

The RIN Open Research team will be organising a programme of events to mark International Open Access Week from 23<sup>rd</sup> to 29<sup>th</sup> October 2023. The theme for 2023 is "Community over Commercialization", which provides an excellent platform for highlighting the ongoing work in UEA that involve Citizen Science and other Open Scholarship activities. Some events will be held jointly with the Library, including those around open access policy updates. For the first time, UKRN events will be promoted during this week.

RIN and the Library will continue to work together to evaluate Jisc-negotiated TAs relating to open access publishing in journals. They will also be looking at ways to increase support for authors publishing long-form publications (such as monographs and book chapters) who wish, or are required by their funder, to make these publications open access. Models for open access publishing of these types of outputs are less well established compared with open access publishing of journal articles, and a range of different publishing models may be available to authors and editors. UKRI's updated *Open Access Policy* affects long-form publications

published from 1<sup>st</sup> January 2024, and so work in 23/24 will involve communication around the policy, following policy and guidance updates from UKRI, and helping authors affected by the policy to find the most suitable open access approach for their particular publication.

RIN and the Library will also be implementing a *Rights Retention Policy* to cover journal articles and conference proceedings written by staff involved in research; this is something that a number of other HEIs in the UK are working on or have already introduced, and UEA will be able to draw on their knowledge and experiences when formulating a policy approach to Rights Retention.

There are plans to move the joint NNUH/UEA SOPs onto a separate NNUH R&D webpage which will make access to the SOPs easier for UEA researchers, and RIN will be looking at how these can be highlighted to UEA researchers. UEA is also planning with the NNUH R&D team training for FMH researchers about the requirements for NNUH to undertake sponsorship of clinical trials.

For UEA Sponsored studies that have received NHS ethics approval and are recorded on Ethics Monitor, RIN will start to introduce reminders for when NHS Research Ethics Committee (NHS REC) annual reports, end of study declarations, and final reports are due, and will be ensuring that clinical trials have been registered on an appropriate external database where required, as part of the NHS ethics approval.

The Schools at UEA are considering a diverse range of initiatives and improvements based on the needs of their research and courses. These include further development of the S-REC Chair role and increased visibility of research integrity and ethics. This could be achieved by further embedding these aspects in School-level guidance and training, as well increasing its inclusion on agendas for research and teaching meetings and communications to staff and students. This might include further use of periodical email notifications, reminding staff and students of the need to remain up to date with current best research practices and changes in processes regarding research integrity. Other proposals include the creation of dedicated ethics portal pages for Schools that currently do not have these and to complement the RIN's portal pages on Research Integrity and Ethics.

Consideration is also being given to improved teaching of research integrity and ethics in the Schools. Suggestions include increased training on research ethics as well as moving training sessions to the start of the relevant module timetables, emphasising it as a core consideration for students throughout the module. Proposals are also being considered to extend and adapt ethics workshops currently employed for the teaching of PGR students, to the wider community of PGT students. Discussions are also being held on the provision of a seminar series on 'Decolonising and Participatory Research' for students. From a research perspective, new guidance for Participant Information Sheets are being developed that are specific to the research and specialism of certain courses, whilst Schools offering professional degrees are seeking to widen the involvement of staff with relevant insight and expertise, for example from the People with Lived Experience Group, to better inform their ethics review processes.

This Report was received by the Council of the University of East Anglia on 27<sup>th</sup> November 2023.

**Case study on good practice**

The University has produced three Open Research Case Studies:

<https://www.uea.ac.uk/web/research/research-culture-uea>

## Section 3: Addressing research misconduct

### **Statement on processes that the organisation has in place for dealing with allegations of misconduct**

Within the University, responsibility for ensuring that no misconduct occurs rests primarily with individual researchers.

The University's *Procedures for Dealing with Allegations of Misconduct in Research* outline the timely and robust actions undertaken when any allegation of research misconduct is brought against any present or past member of staff of the University in respect of research undertaken while employed by the University and/or while registered as a student at the University. Any allegations of misconduct in research against a present or past student while registered by the University are handled using the *Procedures for Investigating Allegations of Research Misconduct Made Against Students*. These Procedures are intended to provide reassurance that all allegations of research misconduct are treated seriously and fairly, and their merit investigated with integrity and with sensitivity.

The University's *Procedures for Dealing with Allegations of Misconduct in Research* are subject to a scheduled review every three years, but minor revisions can be made between reviews for example, following reflections on completed misconduct cases. The last scheduled review of the Procedures took place in 22/23 and the revised Procedures were approved by Senate in February 2023. The revisions made during the review are summarised on the front page of the Procedures, and include:

- strengthening the advice and guidance on taking informal steps initially.
- acknowledging the consequences of allegations made in bad faith.
- including the consequences of breaching confidentiality.
- clarifying the procedural stages and emphasising the prompt progression of the Procedures.

The next scheduled review of these Procedures will take place in 25/26.

All researchers are encouraged to report cases of suspected misconduct or malpractice and to do so in a responsible and appropriate manner in accordance with the University's Procedures.

Researchers must try to resolve the potential research misconduct matter they are concerned about informally before beginning the formal Procedures. In the first instance, an informal approach to the person concerned is encouraged and advice of the relevant Head of School or other equivalent senior office holder in non-School units sought. This is to ensure that wherever possible, issues are resolved without waiting for the formal process to be completed, and not to undermine the issue being raised. If an informal resolution cannot be achieved, any formal allegation is made following the University's Procedures above.

All allegations of misconduct in research are treated seriously and fairly and their merit

investigated with integrity and with sensitivity. In all the University's enquiries following receipt by the relevant Head of School or equivalent, of an allegation of research misconduct and in any action taken as a result of their outcome, due regard is given to the need to:

- protect researchers against frivolous, vexatious, malicious or ill-founded allegations of misconduct in research. For example, any allegation found to be made to deliberately deceive will be treated as an act of dishonesty by the person making the allegation. The allegation may require immediate referral to the University's Staff or Student Disciplinary Procedures.
- protect the position and reputation of those alleged to have engaged in misconduct in research when such allegations are not confirmed. For example, if the case has received any publicity, the Respondent would be offered the possibility of an official statement released for internal and/or external purposes.
- protect the position and reputation of those who make allegations of misconduct in research in good faith, i.e. with the honest belief that misconduct in research may have occurred. For example, it is recognised that an allegation made in good faith should not be penalised and the Complainant might require support. The position and reputation of the Complainant will be preserved provided the allegation is considered to have been made in good faith.
- support those under investigation and observe the principles of natural justice. For example, all enquiries will be conducted on the basis of confidentiality to the strictest extent possible, and any breaches of confidentiality may lead to disciplinary action.

All enquiries are conducted on the basis of confidentiality to the strictest extent possible without compromising health and safety, or any issue related to the safety of the participants in any research, or the appropriate and thorough investigation of the allegation of research misconduct. The University throughout takes all reasonable measures to preserve the anonymity of the person making the allegation.

Named primary contacts to discuss issues relating to potential misconduct in research are on the University's portal pages and external [website](#), and have been in place at UEA for a number of years. They are circulated in e-Bulletins at the start of the academic year and during the academic year.

Each year Senate is asked to verify that the processes that are in place for dealing with allegations of misconduct in research are transparent, robust and fair and are appropriate for the University's needs, before giving assurances to Council.

During 22/23, there was one allegation of research misconduct received concerning a member of staff. This did not proceed to the Formal Investigation Stage (Stage 4) of the University's Procedures. There was one allegation of research misconduct received against a student in respect of research undertaken while registered with the University for the degree of Doctor of Philosophy. This allegation was referred to the Formal Investigation Stage of the University's *Procedures for Investigating Allegations of Research Misconduct Made Against Students*, where it was determined that there was no evidence to support the allegation and

that it should be dismissed.

In accordance with UKRI's *Policy on the Governance of Good Research Practice*, the University keeps the relevant Research Council(s) informed of all allegations of research misconduct at the stage that it is decided to undertake a formal investigation where it relates to an individual(s) associated with:

- a UKRI grant application under consideration.
- any directly or indirectly funded UKRI research activity.
- UKRI activity such as acting as an expert reviewer or strategic advisor (e.g. panel, committee, council member).

As UEA receives funding from Research England, information on all allegations referred for formal investigation are also given to Research England.

The University's *Procedures for Dealing with Allegations of Misconduct in Research* are followed for allegations of research misconduct received through the University's *Public Interest Disclosure (Whistleblowing) Policy*. The Procedures are analogous with the University's *Public Interest Disclosure (Whistleblowing) Policy*, tailored explicitly for research misconduct.

Workplace bullying and harassment of staff, students or any associated personnel by other staff, students or associated personnel are not tolerated by the University. Several funders have already made strong commitments to tackling bullying and harassment in the research and innovation sector, and RIN (in collaboration with the People and Culture Division) has implemented procedures to address new clauses from some of the University's funders which deem researchers ineligible for funding if they have had claims of bullying or harassment upheld against them. The University is committed to maintaining a working and learning environment that is free from any form of harassment and bullying. The University's *Code of Practice for Staff: Dignity and Respect in the Workplace* sets out how the University intends to create an inclusive working environment and culture where staff are treated with dignity and respect and valued for their diversity.

The University's 'Call It Out Bystander' Programme is available to address bullying, harassment, microaggressions, or other unacceptable behaviours, and submitting a report through Report & Support enables access to various support systems.

The option of being able to report an integrity concern anonymously is provided by the University to reduce the barriers and stigma associated with these communications.