

Research Integrity Statement

January 2016

Introduction

This is the University of Southampton's statement on Research Integrity covering the period of 1st August 2014 to 31st December 2015 and is in compliance with the Concordat to Support Research Integrity ("the Concordat"). It summarises the University's status relative to the expectations of the Concordat, the actions and activities undertaken in support of fostering a culture and understanding of research integrity at the University, together with a high-level summary of investigations of misconduct.

Commitment to fostering a culture of research integrity at Southampton

The University of Southampton recognises the importance of undertaking its activities with responsibility and has identified integrity as a core value in its strategy [Vision 2020](#). The University's current Research and Enterprise Strategy together with the supporting operational plan sets the commitment to fostering a culture and understanding of research integrity across all its researchers and students.

Leadership on Research Integrity

The Pro-Vice-Chancellor Research & Enterprise has overall responsibility for overseeing the implementation of the Concordat and this includes responsibility for oversight of research and enterprise policies, ethics, doctoral researcher development and research governance in general. The following groups &/or committees support the Pro-Vice-Chancellor on matters relating to research integrity:

- Research and Enterprise Executive Group ("REEG")
- Research Integrity & Governance Committee ("RIGC")
- University Ethics Committee ("UEC")
- Animal Welfare and Ethical Review Board ("AWERB")

The Pro-Vice-Chancellor reports regularly to the University Executive, Senate and the University Council on matters of research integrity so ensuring institutional oversight.

Deans of Faculties have overall responsibility for the performance management of academics and researchers in their respective Faculties. The Deans are supported by Associate Deans Research and/or Enterprise who also represent their Faculty on REEG and RIGC and have responsibility for implementing research and enterprise policy within their respective Faculties. Each Faculty has a Faculty Ethics Committee ("FEC"), or an arrangement with another Faculty's FEC, for the ethical review of projects undertaken by staff or students. FEC Chairs are members of the UEC.

The University's [Doctoral College](#) provides leadership on doctoral researcher development.

Named Person in accordance with the Concordat

The Pro-Vice-Chancellor Research & Enterprise

Queries or concerns about research integrity and/or reports of research misconduct should be made through the Research Integrity & Governance Team headed by Diana Galpin, Head of IP Contracts & Policy, Research & Innovation Services.

Contact: ResearchIntegrity@soton.ac.uk

Telephone: 023 8059 5058

Research and Enterprise Policies

The University has policies and processes in place to meet the Concordat and these can be found here

[http://www.southampton.ac.uk/about/governance/regulations-policies-guidelines.page#research %26amp%3B enterprise policies](http://www.southampton.ac.uk/about/governance/regulations-policies-guidelines.page#research%26amp%3B%20enterprise%20policies)

Recognising the need for ensuring currency of policies and the development of new ones as necessary, the Pro-Vice-Chancellor Research and Enterprise oversees an action plan for reviewing, refreshing and renewing these policies supported by REEG, RIGC, UEC and AWERB.

A rich environment promoting and supporting research integrity

The University has a number of academic lead groups, centres or initiatives which develop and support aspects of ethics, integrity and good research practices including:

- [Health Ethics and Law group](#) (formed 2005) which is an interdisciplinary research group which explores the nature of health care law and its impact on society. The Group holds monthly events hosting external speakers on a variety of ethics topics which are widely attended by staff and PGRs.
- [Southampton Ethics Centre](#) (launched 2013/2014) brings together a large community of researchers including PGRs working on ethics and ethics related issues across the University. The Centre provides newsletters and information on national events and hosts events locally.
- [Clinical Ethics and Law at Southampton](#) (formed 2010) has a broad range of expertise in the field of clinical care within the University and local health care services and collaborates between academic and clinical groups. It is actively engaged in national debates through its work with groups such as ELSI Research Group, Institute of Medical Ethics, (IME) and UK Clinical Ethics Network, (UKCEN).

In July 2014, the University hosted a Nuffield Council of Bioethics workshop on the “Culture of Scientific Research” which was widely promoted and well attended by staff and students.

External Memberships

To ensure the University keeps abreast of best practice in matters related to the Concordat it has membership of a number of external bodies including:

- [UK Research Integrity Office \(UKRIO\)](#)
- [Association for Research Ethics \(ARE\)](#)

- [Understanding Animal Research \(UAR\)](#)

Summary of key activities for the period August 2014 to December 2015

- University Council and Senate approved establishment of a new Research Integrity and Governance Committee (RIG Committee) to provide leadership on policy development and monitoring of implementation and compliance across the University. The RIG Committee meets three times a year and convened its first meeting in December 2015.
- University invested in additional resource (2.4 FTE) in the research governance function to expand its remit and for the creation of a new Research Integrity and Governance Team within Research and Innovation Services. This team is responsible for supporting the implementation of the Concordat and provision of training on ethics, governance and integrity matters across the University.
- Through the University's online ethics review system ERGO, the Faculty Ethics Committees have reviewed 3351 projects in 2013/2014 and 3726 projects in 2014/2015 across all staff and student projects. ERGO was implemented during 2012/2013 across the University and its implementation has increased awareness of the need for ethical review and streamlined the process considerably. In 2009/2010 when the paper based committee system was in place 1698 projects were reviewed.
- The new [Researcher Portal](#) (Intranet) developed by Research Innovation Services provides a one stop portal of information on all aspects of the research lifecycle (funding through to exploitation) with "how to" guidance and signposting to important sources of information both elsewhere in the University and externally. There is a comprehensive section of guidance to staff and students on all aspects of research integrity, ethics and regulatory compliance.
- The University revised its academic integrity regulations at the beginning of 2015/2016 to ensure, amongst other changes, that ethics and research misconduct are more clearly covered. There is now a single set of Academic Integrity Regulations applicable to all students whether undergraduate, post graduate taught or postgraduate research. <http://www.calendar.soton.ac.uk/sectionIV/academic-integrity-regs.html>
- In December 2014 the University was visited by the Audit and Assurance Services Group (AASG) who were conducting the 2014-2015 Funding Assurance assessment of the University in relation to our Doctoral Training Grant on behalf of Research Councils UK. As part of this assessment report of January 2015 the AASG gave the University a "Satisfactory Assurance" rating in relation to the University's compliance with Research Integrity and Ethics policies and procedures.

Working across the sector and collaboration

- In 2004 the University was awarded the ESRC National Centre for Research Methods <http://www.ncrm.ac.uk/> which it now runs in partnership with Manchester and Edinburgh. This provides training and capacity building activities in social science research methods which includes topics on good research practices and ethical issues.
- The University is the lead for the [Administrative Data Research Centre England \(ADRC-E\)](#) in collaboration with University College London, London School of Hygiene and Tropical Medicine, Institute for Fiscal Studies and Office for National Statistics. ADRC-E is developing policies, procedures and guidance at a national level for safe and

effective use of administrative data with specialisms in linking data and ensuring anonymity of data.

- Research & Innovation Services has been an active member of an Export Controls Working Group which developed a new set of guidance to promote and facilitate understanding of export control laws and compliance for Universities.
- Research & Innovation Services has also actively participated in the Russell Group Research Integrity Forum which was established to share experiences and to develop best practice on research integrity.

Summary of investigations of research misconduct

The table below sets out the high level detail of investigations and findings in relation to research misconduct covering both staff and post graduate research (PGR) students.

	Number of allegations for which an investigation has been undertaken			Number of allegations upheld (in whole or in part)		
	2013/14	2014/15	2015/16 to end Dec 2015	2013/14	2014/15	2015/16 to end Dec 2015
Fabrication						
Falsification		0 (1)			0 (1)	
Plagiarism	0 (4)	0 (2)	1* (1)	0 (3)	0 (2)	1* (1)
Misrepresentation						
Breach of duty of care						
Improper dealing with allegations of misconduct						
Other e.g. ethics / unprofessional behaviour	-	-	0 (1)	-	-	0 (1)

NB Staff and PGR student numbers are reported. Number outside of brackets reflects staff and number within brackets =PGR students.

* Matter involved an ex member of staff but the allegation covered a period the staff member was a University employee.