

# Annual Statement on Research Integrity Academic year 2019-20

## Context

Various aspects of research governance are managed through nationally-produced concordats which provide templates of good practice to institutions. These concordats are endorsed by our funding bodies and are used to drive continuous improvement approaches to core research governance questions. Institutions are expected to implement the concordats but have some flexibility in interpretation to ensure activities best suit the local institutional context.

One of these Concordats is the Concordat to Support Research Integrity. Commitment 5 in the Concordat states “We are committed to working together to strengthen the integrity of research and to reviewing progress regularly and openly” and that (...) “Employers of researchers will (...) produce a short annual statement, which must be presented to their own governing body, and subsequently be made publicly available, ordinarily through the institution’s website. This annual statement must include:

- a summary of actions and activities that have been undertaken to support and strengthen understanding and the application of research integrity issues (for example postgraduate and researcher training, or process reviews)
- a statement to provide assurance that the processes the institution has in place for dealing with allegations of misconduct are transparent, timely, robust and fair, and that they continue to be appropriate to the needs of the organisation
- a high-level statement on any formal investigations of research misconduct that have been undertaken, which will include data on the number of investigations. If no formal investigation has been undertaken, this should also be noted
- a statement on what the institution has learned from any formal investigations of research misconduct that have been undertaken, including what lessons have been learned to prevent the same type of incident re-occurring
- a statement on how the institution creates and embeds a research environment in which all staff, researchers and students feel comfortable to report instances of misconduct.

## Introduction

As stated in the Colleges Research Integrity Code of Practice honesty, openness, accountability and integrity are vital qualities for any academic researcher in any academic discipline.

At Birkbeck all research is carried out in a climate where high standards of personal conduct are encouraged and expected. Everyone engaged in research, no matter what their level of experience, is expected to act with the highest standards of integrity.

To foster and maintain its research culture, Birkbeck expects all researchers to:

- Maintain open and honest professional standards
- Exercise accountability in research
- Ensure leadership and cooperation in research groupings
- Take special account of the needs of inexperienced researchers

- Ensure training and supervision for researchers
- Plan and conduct research in accordance with the requirements of funders and all relevant College and external codes of practice, legislation and regulatory bodies
- Follow best current ethical practice
- Exercise care and respect for participants in research projects
- Ensure data is stored, shared, preserved and disposed of appropriately and responsibly
- Document and making available research data
- Ensure the results of research are openly accessible
- Acknowledge the contribution of others
- Take appropriate measures to protect intellectual property
- Take action if research misconduct is suspected
- Manage any conflicts of interest in line with the College policy.

This statement is part of the College's commitment to further strengthen our research integrity.

## Research Integrity Statement

- **A summary of actions and activities that have been undertaken to support and strengthen understanding and the application of research integrity issues (for example postgraduate and researcher training, or process reviews).**

The College recognises that there is still a body of work to be done to ensure that all our policies and procedures relating to research integrity, research ethics and research misconduct are effectively communicated to our researchers. Best practice in this area is constantly evolving and the College cannot 'rest on its laurels' in assuming that all researchers are aware of latest developments at all times. Training is an essential part of this work.

At the student level, all UG, PGT and PGR students receive relevant training in questions of ethics and integrity as a core part of their research methods modules, and through workshops etc. which are run to support the process of writing dissertations. At the PGR level, this is complimented by generic training and information sessions which are run by BGRS (the Birkbeck Graduate Research School). It is compulsory that all PGR students receive additional training in research ethics and integrity.

In 16-17 some gaps in terms of research integrity training provision for staff were identified, and the College Ethics Committee identified this as a priority area for the 17-18 year. In 17-18, whilst ad hoc training continued through presentations, workshops and guest speakers, the College Ethics Committee worked with the Schools to identify real/realistic, generalisable, challenging questions and a [set of training materials was produced and placed onto the College website](#) to support Schools to begin to develop more structured training programmes to be delivered in house. Potential gaps in the formal training of supervisors of PhD students were also identified, especially when those supervisors are external to the College.

As described in our 18-19 statement, work to enhance our training culture and embed new initiatives continued, and we were happy with progress into 19-20. However, all this work ground to a halt in March when the institution locked down in response to the global COVID-19 pandemic and the focus of attention shifted to be how to support our researchers to do their research safely in the

new environment. These conversations were important, and played a critical role in developing (for example) good practice in how to collect human participant data remotely. These conversations were also widely disseminated and discussed as a very informal sort of training but we are aware of our need to focus attention back onto this area as soon as the COVID-19 situation will allow us to.

- **Assurance that the processes the institution has in place for dealing with allegations of misconduct are transparent, timely, robust and fair, and that they continue to be appropriate to the needs of the organisation.**

Any person wishing to raise concerns about the integrity of research being undertaken by the College can do so formally or informally as described in the College's [Research Misconduct Procedure](#). Formal queries are raised with the Chair of the College Ethics Committee, [Professor Stewart Motha](#) and informal queries can be raised with the Head of Research Strategy Support, [Dr Sarah Lee](#).

Our [Research Misconduct Procedure](#) outlines the procedure followed when there is an allegation of misconduct in research. This procedure is intended to ensure that that all investigations are carried out in a fair, transparent and timely manner, giving appropriate support to the complainant whilst maintain the presumption of innocence for the respondent. Appropriate protection of confidentiality for both the complainant and the respondent are also embodied within the procedure.

The Procedure draws heavily on the 2008 publication from the UK Research Integrity Office "[Procedure for the Investigation of Misconduct in Research](#)", but with some amendments to reflect the Colleges relatively small size, evolution (since 2008) in our understanding of best practice, and to map more effectively onto other Colleges processes (for example, to allow a Research Misconduct investigation to constitute the first stage of a formal disciplinary process where this is appropriate).

This policy dates was reviewed in the 19-20 academic year to ensure it remains fit for purpose, and is due to be reviewed again in March 2022.

- **High-level statement on any formal investigations of research misconduct that have been undertaken.**
  - Over the 19-20 academic year the College received one formal allegations of research misconduct which was dismissed at the initial stage.
  - Over the 19-20 academic year, the College received one informal query about whether or not research misconduct may have occurred. It was determined that research misconduct had not occurred.
- **What the institution has learned from any formal investigations of research misconduct that have been undertaken, including what lessons have been learned to prevent the same type of incident re-occurring.**

We did not undertake any investigations in 19-20.

- **How the institution creates and embeds a research environment in which all staff, researchers and students feel comfortable to report instances of misconduct.**

The College has a suite of policies and procedures in place to ensure that research (and our other activities) are undertaken to the highest standards of integrity and ethics. The College recognises the important role such documents play in embedding a culture of ethics and integrity and in supporting our researchers to understand the standards expected of them in terms of values and behaviours.

These policies and procedures are all available at <https://www.bbk.ac.uk/about-us/governance/research-integrity> and are reviewed against national best practice benchmarks ca. every two years to ensure that they remain relevant and up to date.

Our [Research Integrity Code of Practice](#) is our institutional framework for good research practice, and sits alongside our [Responsibilities and Procedures for Ethical Review](#), which describes the framework and processes we have in place to ensure all our activities, including research, are conducted in accordance with fundamental ethics principles.

We are considering developing a separate policy to allow poor practice to be reported more easily but have not yet consolidated our thinking about this.

These policies are made available to staff through the [University web pages](#) and are referenced in College induction processes.

All these policies are due to be next reviewed and updated in the 21-22 academic year.

The College is a subscriber to the Research Integrity Office and attends the annual conference.