



2024 University of Nottingham Annual Statement on Research Integrity

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Summary and Context

This is the *eleventh annual statement on Research Integrity* that the University of Nottingham (referred to as 'the University' hereafter) on the actions and activities undertaken for the period between *1 July 2023 and 30 June 2024* to sustain and further enhance research integrity in the University. To demonstrate the University's commitment to the Concordat to Support Research Integrity¹ (the Concordat hereafter) and the majority of UK and EU research funders (e.g. UK Research and Innovation (UKRI), Wellcome Trust, National Institute for Health and Care Research (NIHR) etc.), the University has identified and made publicly available a named person who will act as a first point of contact for anyone wanting more information on matters of research integrity, and act as confidential liaison for any person wishing to raise concerns about the integrity of research being conducted under the University's auspices. In addition, the University publishes and releases publicly through its website, an annual statement on how it is meeting the requirements of the revised concordat for accountability and assurance on activities undertaken in support of research integrity. (<https://www.nottingham.ac.uk/research/ethics-and-integrity/index.aspx>)

This annual statement, coordinated by Research and Innovation, has been developed following the guidelines and suggested structure of the statement from the UK Research Integrity Office (UKRIO) self-assessment tool and in line with commitment five of the Concordat. It provides details of the actions and activities undertaken across the University to support and strengthen research integrity, including addressing allegations of misconduct.

Key highlights from central departmental activities:

- Appointment of new Chair for the University Research Integrity and Ethics Committee (see 2.2.1.)
- Research in Action 2024: Skills, Tools, and Current Debates (Previously titled Research Integrity Week) (see 2.2.6.).
- Clinical Research Governance development and increased infrastructure support (see 2.2.7.).
- Improving the Researcher Experience project initiated and led by Research and Innovation which aims to review and streamline research grant processes, to simplify and improve efficiency as much as possible at every step (see 2.2.8.).
- Public Engagement activities including Sustainable Futures Hub and national enquiry into transition to net zero (see 2.2.9.).
- Trusted Research activities to support navigation, identification and management of potential risks to your Research/ Knowledge Exchange activities (see 2.2.10.).
- A new Research Data Management Code of Practice affirming the University's recognition and acknowledgement of the role that good research data management can play in underpinning and realising its vision to be recognised globally for the quality of its research (see 2.2.14.).
- The University is now in a position to offer Cyber Essentials certified research environments (see 2.3.6.).
- Libraries support in the Management of secure and sensitive data (see 2.4.5.)
- Human Resources substantial activities in support of Research Culture and embedding the University's values (see 2.6.).
- HR is in the first year of a £1million Wellcome Trust funded project entitled REC-HURDLEs (see 2.6.9.).

Despite the current climate and financial challenges faced by the Higher Education Sector, there have been substantial activities by the University of Nottingham at all levels with direct or in direct positive impact and support on Research Integrity and culture. This report also provides details on the significant activities within faculties and schools focused on local disciplines and functions.

This information was collected through a survey of activities supporting research integrity conducted across Faculties and relevant departments within Professional Services by the Head of Research Integrity. Each of the five Faculties, the University's International Campuses (UNM and UNNC), Human Resources, the Researcher Academy, Digital Research, Libraries and Student Services has responded separately.

This report has been reviewed by the Pro-Vice-Chancellor for Research and Knowledge Exchange, the Chair of the University Research Integrity and Research Ethics Committee and approved by the latter Committee and Council.

¹ <https://www.universitiesuk.ac.uk/topics/research-and-innovation/concordat-support-research-integrity>

Section 1: Key contact information

1A. Name of organisation	University of Nottingham
1B. Type of organisation: higher education institution/industry/independent research performing organisation/other (please state)	Higher Education Institution
1C. Date statement approved by governing body	13 Dec. 2024
1D. Web address of organisation's research integrity page (if applicable)	https://www.nottingham.ac.uk/research/ethics-and-integrity/
1E. Named senior member of staff to oversee research integrity.	Professor Tom Rodden Pro-Vice Chancellor Research and Knowledge Exchange
1F. Named member of staff who will act as a first point of contact for anyone wanting more information on matters of research integrity	Ali Alshukry Head of Research Integrity, Governance and Compliance ali.alshukry@nottingham.ac.uk

Section 2: Promoting high standards of research integrity and positive research culture.

Actions and Activities that have been undertaken to support and strengthen understanding and the application of research integrity.

The University is committed to 'The Concordat to Support Research Integrity' and its values through which trust and confidence in research stem, and from which the value and benefits of research flow. The University, through the various functions and departments, continues to publish, improve, update, and deliver a range of policies, guidance, training, resources to ensure a research environment characterised by our culture of research integrity, good research practice, and the development and training of researchers at all stages of their careers and to assist all staff and students involved in research to meet legal and ethical requirements and help prevent research misconduct.

Below is a breakdown of the activities and actions undertaken within the University at the different levels and functions:

2.1. Overview - Institutional Strategy and Objectives to Strengthen Understanding of Research Integrity

Research integrity thrives in a positive research culture and environment and the University of Nottingham is committed to enhancing the culture in which research integrity is maintained.

The University continues to review the processes and procedures for managing research integrity at an institutional level, with strong leadership by the **University Research Integrity and Research Ethics Committee (URIEC)**². URIEC oversees and defines research integrity and research ethics policies, establishes the University's process and procedures for providing oversight of research integrity and ethical review, provides quality assurance of such procedures, ensures and monitors best practice of research integrity and research ethics across the University, advises the Research Committee on research integrity and research ethics components of the Code of Research Conduct and Research Ethics, and legal and statutory requirements, champions the training and the embedding of a culture of research integrity and good practice across all areas of the University and reviews and approves this University's Annual Statement on Research Integrity.

² <https://www.nottingham.ac.uk/governance/universitycommittees/research-ethics.aspx>

The Head of Research Integrity, Governance and Compliance acts as the Secretary for URIEC and is the point of contact and liaison for all Research Integrity matters across the University including research misconduct queries and investigations³.

2.2. Central - Current Systems and Culture, and Changes and Developments

2.2.1. Appointment of new Chair for the University Research Integrity and Ethics Committee: Under the guidance and leadership of Deputy Pro-vice Chancellor for Research and Knowledge Exchange (Professor Sarah Metcalfe⁴), the Head of Research Integrity, Governance and Compliance working with Governance and Assurance Central initiated the process to recruit a new Chair for URIEC. The process involved advertising internally and interviewing all applicants to take on the role from the current Chair - Professor Penny Gowland⁵.

After careful consideration and the interview panel, chaired by Professor Metcalfe, have appointed Professor Kate Millar⁶ who will assume the role as of the 1st December 2024.

2.2.2. The University's Code of Research Conduct and Research Ethics⁷ (referred to as 'the Code' hereafter) provides a comprehensive framework for good research conduct, research ethics principles and the governance of all research carried out across the University, including the University's international campuses. The Code underpins the University's commitment to maintaining the highest standards of integrity, rigour and excellence in all aspects of our research and for all research to be conducted according to the appropriate ethical, legal and professional frameworks and standards. The Code is a fundamental component of the research environment, which is characterised by our culture of research integrity, good research practice, and the development and training of researchers at all stages of their careers.

The Code has been reviewed, revised and published new version (v9) in March 2023 in the light of feedback from colleagues and to reflect the changes in the ever-evolving research landscape. The Code is tabled for revision in March 2025.

2.2.3. The Code of Practice for Research Ethics Committees (CoPREC)⁸ is scheduled for review in December 2024 with planned focus on delegated assessment review. Whilst the Code of Research Conduct and Research Ethics outlines the guiding principles for conducting research, the CoPREC outlines the minimum expectations for the operation of Research Ethics Review Committees and specific guidance on the operation of School, Department or Faculty Research Ethics Review Committees (RECs) and associated processes, including review criteria. It was designed to ensure alignment of process and governance but also allow discipline-appropriate procedures to be implemented where appropriate and ensures that RECs are always independent in forming their opinions.

Work has started to produce streamlined guidance for local Research Ethics Committees to agree an aligned approach for delegated assessment and supervisor review/signoff. It is anticipated that this approach will reduce the burden of ethics committees and provide researchers (mainly undergraduates and post graduated taught) with clearer guidance and process to undertake their research in a timely manner, and ensuring potential ethical risks are addressed and mitigated.

2.2.4. The Quality Manual⁹ sets out the regulations, policies and procedures around teaching and learning at the University. The manual is updated on a regular basis and sets out information and guidance relating to academic misconduct¹⁰. Regular training is provided for academic misconduct officers in all schools and departments. The scope of the training does include research students. The Manual was updated in 2024 (record of changes is published on ongoing bases)¹¹. Examples of updates include: Role and appointment of examiners for research degree programmes, Supplementary regulations for the Degree of Doctor of Clinical Psychology (DClinPsy), The role of the PGR

³ <https://www.nottingham.ac.uk/research/ethics-and-integrity/>

⁴ <https://www.nottingham.ac.uk/geography/people/sarah.metcalfe>

⁵ <https://www.nottingham.ac.uk/physics/people/penny.gowland>

⁶ <https://www.nottingham.ac.uk/research/groups/large-animal-biotechnology/people/kate.millar>

⁷ <https://uniofnottm.sharepoint.com/sites/ResearchEthicsandIntegrity/SitePages/Code-of-conduct.aspx>

⁸ <https://uniofnottm.sharepoint.com/sites/ResearchEthicsandIntegrity/SitePages/University-Research-Integrity-and-Ethics-Committee-Research-Ethics-Committees.aspx>

⁹ <https://www.nottingham.ac.uk/qualitymanual/quality-manual.aspx>

¹⁰ <https://www.nottingham.ac.uk/qualitymanual/assessment-awards-and-deg-classification/pol-academic-misconduct.aspx>

¹¹ <https://www.nottingham.ac.uk/qualitymanual/recent-changes/changes-in-2024.aspx>

supervisor, thesis pending period (including policy on extension), and Clarifications have been made to the PGT supervision expectations page to address UKVI regulatory requirements that were not captured in the previous regulations.

2.2.5. Research Ethics and Integrity SharePoint Pages¹² (internal) were published in May 2020 to provide central support on all aspects of Research Ethics and Research Integrity. These pages are continually updated, including contact information for the research ethics committees and resources for researchers. Pre-recorded Video presentations are also being added to facilitate ease of access for researchers in their own time.

In this reporting period, we reviewed all pages in one single exercise to ensure all links are updated and working. We have also ensured that these pages are compatible with other devices other than standard laptops to provide the visitor with the best experience and ensures they can access all the information at any time.

2.2.6. Research in Action 2024: Skills, Tools, and Current Debates (Previously titled Research Integrity Week)¹³; Research in Action Week ran from **June 17th to 21st 2024**, featuring a series of free expert talks for staff and students aimed at strengthening the integrity of research conducted across the university. The event in its fourth consecutive year, building upon its increasing success and popularity. Renamed 'Research in Action 2024: Skills, Tools, and Current Debates', the new title reflects the value and activities spanning all research career stages.

This year's program delved into crucial topics shaping the research landscape, including the ethical dimensions of social media, fake participants in research, exploring research involving BAME and indigenous communities, and navigating the complexities of Human Tissue in research. The sessions included insights into teams and resources from across the university that support researchers, covering areas such as Research Contracts, Post Award management, Research Information Systems, Trusted Research, and NHS ethics.

Renowned organisations such as the UK Research Integrity Office (UKRIO) and The UK Reproducibility Network (UKRN) will share their expertise, guiding participants on fostering a healthy research culture and collectively working towards improving research quality and integrity. The sessions were recorded and subsequently published internally¹⁴ to all staff and students within the University.

- a. **Introduction to the UK Reproducibility Network (UKRN)** delivered by Professor Marcus Munafò - Professor of Biological Psychology and MRC Investigator, Associate Pro Vice-Chancellor - Research Culture University of Bristol, and chair of the UKRN Supervisory Board.
- b. **Social Media and Research Ethics** (by Dr Nicolas Gold, Associate Professor, University College London).
- c. **Research and Innovation**¹⁵ teams delivered several sessions on:
 - **Introduction to Research Contracts** - Tips and Advice (Brian Berry -Head of Research Contracts and Kate Gilone - Research Contracts Manager)
 - **Research Information System (RIS)** at UoN (Dr Joy Wilmot-Carr - Head of Research Systems & Business Improvement (RSBI) Team)
 - **Trusted Research and Export Controls** (Dr Anastasia Gadzhieva- International Risk and Export Controls Manager)
 - **Research Post Award**- Financial Management and Compliance (Helen Hammond - Head of Post Award and May Beale & Katharyn Dancer - Research Finance Business Partners)
 - **NHS Research at UoN** (Alison Thorpe - Kimberly Byrne - Sarah Flynn (members of the Research Governance Team)).
- d. **Good Research Practice and a Healthy Research Culture (UKRIO)** by James Parry, Chief Innovation Officer of the UK Research Integrity Office.
- e. **Human Tissue at UoN** by Dr James Dixon- Associate Professor – School of Pharmacy - Designated Individual for Human Tissue License and Mr Owen McIntosh- Human Tissue Quality Manager – School of Medicine
- f. **Fake Participants in Online Research** by Dr Blandine French - FHEA, Senior research fellow, School of Psychology and Institute of Mental Health,
- g. **What does it mean to be ethical and socially-just in 'decolonial' times?** by Dr Manny Madriaga - Associate Professor in Education, Faculty of Social Sciences

¹² <https://uniofnottm.sharepoint.com/sites/ResearchEthicsandIntegrity/SitePages/Code-of-conduct.aspx>

¹³ <https://uniofnottm.sharepoint.com/sites/ResearchEthicsandIntegrity#research-in-action-2024-skills%2C-tools%2C-and-current-debates>

¹⁴ <https://uniofnottm.sharepoint.com/sites/ResearchEthicsandIntegrity>

¹⁵ <https://www.nottingham.ac.uk/fabs/research-innovation/home.aspx>

There were over 360 registrants this year and invitations were extended to local NHS R&D colleagues to join and benefit from these sessions.

2.2.7. Clinical Research Governance: Research Projects involving the NHS, Social care, and Prisoners and Prison and Probation Service are supported centrally by the Research Governance team. The team ensures compliance with and gaining the Health Research Authority and Favourable Research Ethics Committee Opinion approval, and compliance with UK Policy Framework for Health and Social Care Research and the Medicines and Healthcare products Regulatory Agency (MHRA) requirements and approvals needed for Clinical Trial of an Investigational Medicinal Product and medical devices.

The team also provide a wealth of dedicated templates, Standard Operating Procedures, and guidance on regulatory requirements, best practices, Human Tissue Act and Administration of Radioactive Substances Advisory Committee.

- New dedicated internal pages were developed and planned to be published in October 2024 to increase and ease accessibility to information and resources in line with the REC, HRA, MHRA and NIHR guidance and are kept up to date with relevant information and guidance.
- New training sessions were set up to support all staff and PGRs and will talk them through approval requirements, triggers, processes and top tips to navigate obtaining research approvals including NHS REC and HRA.
- The team has introduced several procedural changes in their operational processes to facilitate and streamline contractual agreements with research sites, both national and international. Also introduced a new process to allow Trusted Research requirements and checks are undertaken in parallel to avoid any potential delays to international sites opening.
- Working closely with NIHR Research Delivery Network (RDN) to update on trial recruitment numbers and study statuses in timely accurate manner.

2.2.8. Improving the Researcher Experience project: a new project, initiated and led by Research and Innovation which aims to review and streamline research grant processes, to simplify and improve efficiency as much as possible at every step. The project has gathered insights from stakeholder workshops and in-depth interviews to ensure that the outcomes directly address the concerns and challenges voiced by the university's academic community. Three initial priority areas of improving award set-up, communication and the recruitment of project staff have been identified and improvements are being implemented. Positive feedback and good engagement from all stakeholder groups (academics, research support staff, professional services). The project is still ongoing, but implementation has already started.

2.2.9. Public Engagement: The Institute for Policy and Engagement¹⁶ has been created to help form partnerships and networks between the University's world-class research, and the people and organisations it can help. The Institute's mission is to support the exchange of knowledge and ideas to enrich policy making, inspire people, support communities, transform lives and shape the future. The commitment to public engagement features in the University's Strategy¹⁷ under '*embedding collaboration in all we do*' goal which commits us to "[...] *endeavour to become a university without borders, reaching out to our students, to our alumni and to our civic partners, industry, governments and citizens to ensure our research and education is developed in collaboration with our stakeholders and that we are recognised for the many benefits we provide to society.*" This commitment is asserted in our Knowledge Exchange and Civic and Regional Strategic Delivery Plans that sit under the University Strategy. The principles of public engagement with research are now embedded in our Digital Nottingham initiative¹⁸.

The Institute runs a number of projects, both large and small, across its three primary strands: policy; public engagement; and research advocacy. Below are examples of some of these projects:

- **Capabilities in Academic Policy Engagement (CAPE)**¹⁹: CAPE is a knowledge exchange and research project that explores how to support effective and sustained engagement between academics and policy professionals across the higher education sector. CAPE is a partnership between UCL and the universities of Cambridge, Manchester, Northumbria and Nottingham, in collaboration with the Government Office for Science, the

¹⁶ <https://www.nottingham.ac.uk/policy-and-engagement/home.aspx>

¹⁷ <https://www.nottingham.ac.uk/strategy/goals.aspx>

¹⁸ https://uniofnottm.sharepoint.com/sites/Digital_Nottingham

¹⁹ <https://www.nottingham.ac.uk/policy-and-engagement/projects/cape.aspx>

Parliamentary Office for Science and Technology, Nesta and the Transforming Evidence Hub. CAPE is funded by Research England.

- **University of Nottingham launches national inquiry into transition to net zero²⁰**; Professor Lucelia Rodrigues, Deputy Commission Chair, noted: "*The University of Nottingham has long pioneered zero-carbon research and has always sought to ensure that this work results in positive policy impact wherever possible.*"
- **SHAPing Sustainable Futures Hub²¹**: new online research hub aims to demonstrate how social science research at the University of Nottingham is helping to shape a more sustainable future. It provides an online resource dedicated to showcasing the value of the University of Nottingham's social science research for net zero, climate change and sustainability policies, and is funded by the ESRC IAA.

2.2.10. Trusted Research: The Trusted Research campaign (which includes specific guidance for academics) was launched in 2019 by the UK Government's National Protective Security Authority (NPSA)²² and is designed to help researchers, UK universities and industry partners make informed decisions when collaborating with international partners. UK Research and Innovation (UKRI) published its Trusted Research and Innovation Principles in 2021 to support recipients of UKRI funding in ensuring trusted research and innovation. The University of Nottingham has now fully adopted the NPSA Trusted Research Guidance and UKRI's Trusted Research and Innovation Principles. All new international research, knowledge exchange and teaching partnerships are reviewed by Trusted Research team that is part of Research and Innovation Operations.

The University has an available resource, the Trusted Research Toolkit²³, to support and guide international research projects and initiatives to comply with the NPSA and UKRI Trusted Research Guidance. The Toolkit ensures the identification and management of potential risks to your Research/ Knowledge Exchange activities; helps researchers, UK universities and industry partners to have confidence in international collaboration and make informed decisions around those potential risks; and explains how to protect research and staff from potential theft, misuse or exploitation. The management of risk satisfies the requirements of the UK Government and Funders. Since its establishment the Trusted Research team have reviewed over 3,400 international Projects and has conducted 5,000+ due diligence reviews. Over 1,200 colleagues have undergone Trusted Research training with regular and bespoke sessions on high risk or emerging technologies research delivered regularly. The Trusted Research team can provide assessment and guidance on National Security risks associated with larger scale international collaborations.

Trusted Research is now on the University Risk Register and briefings have been delivered to University Executive Board²⁴, Council²⁵ and University Senate²⁶.

2.2.11. Research Integrity Bytes²⁷: are one-page notes addressing common issues and questions raised by researchers in all fields. The Bytes were introduced to give researchers a starting point when considering issues that may impact the integrity of their research. New bytes are published as and when identified. The latest bytes included *Services Improvements and-or Evaluation Research* and *Safeguarding in Research*.

To give a flavour of areas covered: Health and Safety in Research - Incidental Findings in Research - Version Control in Research - Vulnerable People in Research - Authorship - Documenting and Depositing Research Data- DPA- Online and Social Media Research - Researcher Responsibilities- Recruitment Posters - DPA and Anonymisation - Prize Draws in Research- Children in Research- Consent and Assent- Data Protection UK - Children in Research-Considerations- Data Sharing- Fundamentals of Informed Consent - Steps of Informed Consent- Pre-prints vs Pre-proof-press-

²⁰ <https://www.nottingham.ac.uk/news/university-of-nottingham-launches-national-inquiry-into-transition-to-net-zero>

²¹ <https://www.nottingham.ac.uk/policy-and-engagement/net-zero/home.aspx>

²² <https://www.npsa.gov.uk/>

²³ <https://uniofnottm.sharepoint.com/sites/ResearchandInnovation/SitePages/Trusted-Research-Toolkit.aspx>

²⁴ <https://www.nottingham.ac.uk/about/structure/university-executive-board/university-executive-board.aspx>

²⁵ <https://www.nottingham.ac.uk/governance/universitycommittees/council.aspx>

²⁶ <https://www.nottingham.ac.uk/governance/universitycommittees/senate.aspx>

²⁷ <https://uniofnottm.sharepoint.com/sites/ResearchEthicsandIntegrity/SitePages/Research-Integrity-Bytes.aspx>

Questionable Research Practices- Research Involving Illegal Activities - Health Research Authority - Safeguarding in Research.

The University Research Integrity and Ethics Committee have produced **Social Media Research Guidance**²⁸. This document highlights the potential ethical implications/risks for research in when dealing with social media and/or Internet Mediated Research and the considerations when undertaking research involving these areas.

There is a substantial overlap between these areas as well and careful considerations need to be taken to ensure Ethical and legal concerns are well mitigated to preserve the integrity of the research and its outcomes. This document substantially draws information (in many cases; verbatim) from the British Psychological Society's Ethics guidelines for internet mediated research (IMR)²⁹.

2.2.12. Animal Welfare and Ethical Review Body (AWERB): All experimental work involving vertebrate animals conducted by the University of Nottingham is considered by AWERB even if this work is below the threshold requiring regulation under the Animals (Scientific Procedures) Act 1986 (ASP). Research projects within the School of Veterinary Medicine and Science are reviewed by The Committee for Animal Research and Ethics (CARE). Projects received by CARE that fall under ASPA will be referred to AWERB.

2.2.13. UK Access and Benefit Sharing Regulations: The University of Nottingham is committed to compliance with the Nagoya Protocol³⁰ on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilisation to the Convention on Biological Diversity and the EU's Nagoya Protocol Implementation Regulation (Regulation (EU) No 511/2014). Guidance on the compliance with the Nagoya Protocol on Access to Genetic Resources has been updated to reflect the changes introduced post Brexit³¹. We have also utilised Trusted Research Review process to capture and notify researchers of their obligations when projects are identified to potentially fall under the Nagoya Protocol remit. We have also updated our Checklist for researchers to help assess individual projects and keep a record of these assessments.

2.2.14. Research Data Management Code of Practice: The University of Nottingham implements policies and procedures to ensure good research practice and to sustain programmes of excellence and ethical research. The University recognises research data as a valuable institutional asset and acknowledges the role that good research data management can play in underpinning and realising its vision to be recognised globally for the quality of its research. A new Code of Practice on Research Data Management was introduced to replace the Research Data Management Policy. This document aims to:

- outline the steps researchers need to take to manage their research data effectively;
- extend the principle of disseminating the University's research as widely as possible by recognising research data as a legitimate scholarly output in its own right;
 - ensure research is of the highest integrity, underpinned by accurate, robust data that supports the validity of the conclusions drawn from the research;
- establish the expectations of the University's researchers and support staff in relation to research data management;
- ensure that the University: complies with the data policies of its external research sponsors, publishers and governmental agencies; provides accountability for the use of public funds; and complies with the relevant UK Laws.

2.3. Digital and Technology Services - Current systems and culture, and Changes and developments

2.3.1. The digital research team continues to update and refresh published guidance and materials to support researchers in managing their research data. The dedicated SharePoint pages³² (internal) includes resources covering planning, data storage, process and analysis, archiving.

2.3.2. Draft guidance has been written around the ethical use of AI in research. This paper has been shared with, and endorsed by, the Faculty of Social Sciences Research Ethics and Integrity

²⁸ <https://uniofnottm.sharepoint.com/sites/ResearchEthicsandIntegrity/SitePages/Research-Integrity-Bytes.aspx#social-media-research>

²⁹ <https://www.bps.org.uk/guideline/ethics-guidelines-internet-mediated-research>

³⁰ <https://www.cbd.int/abs/doc/protocol/nagoya-protocol-en.pdf>

³¹ <https://uniofnottm.sharepoint.com/sites/ResearchEthicsandIntegrity/SitePages/Access-and-Benefits-Sharing.aspx>

³² <https://uniofnottm.sharepoint.com/sites/DigitalResearch/SitePages/Publish.aspx>

Committee, with a recommendation to bring the paper to a future UREIC meeting for approval as university-wide guidance.

- 2.3.3. Membership of the Faculty of Social Sciences FREIC with a standing agenda item around the impact of technologies on research ethics and integrity.
- 2.3.4. Membership of the Research Data Management Assurance Group, whose role includes drafting the university's Research Data Management Code of Practice and disseminating this across the institution.
- 2.3.5. Training and awareness sessions around digital research and data management planning, for both staff and PGRs, including 'Digital Research and Libraries supporting Research Integrity' presentation as part of the University's Research Integrity week (aimed at staff and students).
- 2.3.6. Working with Information Security and Compliance part of Governance and Assurance Central; the University is now in a position to offer Cyber Essentials certified research environments³³.

2.4. Libraries - Current systems and culture, and Changes and developments

Libraries provide a range of systems, services, advice, and training to enable researchers to conduct and disseminate robust and credible research:

2.4.1. Research Data Management (RDM)

- Data management plan review: advice researchers on how to obtain & analyse data in a transparent, rigorous and ethical way. Advise on best practices in sharing data to ensure it is FAIR where possible, but secure when not.
- Research Data Management training: Bespoke sessions to schools/research groups (primarily staff & PGRs). Moodle course on introduction to RDM (primarily PGR & PGT), outreach via the university Data Fest 2024.
- Membership of the Research Data Management Assurance Group, whose role includes drafting the university's Research Data Management Code of Practice and disseminating this across the institution.

2.4.2. Support researchers in complying with copyright and funder obligations.

- Staff support researcher compliance with UKRI & Wellcome OA obligations e.g. open licences, acknowledgement of funders in manuscript
- Webpages which give copyright advice.
- Training sessions on Copyright and Where to Publish (primarily PGR).

2.4.3. Support transparent sharing of research findings.

- Management of Research Information System (RIS) (publications) and Dspace (research data) repositories.
- Provide Digital Object Identifiers to ensure longevity of data underlying findings.

2.4.4. Increase understanding of Open Research at the University

- Maintain Open Research webpages.
- Promote and advise on open protocols for systematic review and more widely including encouraging researchers to deposit their research protocols and evidence synthesis protocols in appropriate repositories.
- Promote and advise on sharing of software as well as data.

2.4.5. Management of secure and sensitive data

- The Economic and Social Research Council SafePod located in the Hallward Library facilitates safe and secure access to sensitive external data sets at the University.
- Provide access to a 'dark' archive with the research data repository where sensitive data can be archived but not shared.

2.4.6. Research intelligence

³³ <https://uniofnottm.sharepoint.com/sites/InformationSecurityandCompliance/SitePages/Use-of-University-Cyber-Essentials-Plus-Certification.aspx>

- Launched a new Research Intelligence service which embeds responsible research assessment principles within initiatives supporting increased research reputation and impact.
- Provided training centrally and to targeted groups (primarily staff & PGRs).
- Provided updated guidance on responsible use of research metrics via Libraries webpages.

2.5. The Researcher Academy - Current systems and culture, and Changes and developments

- 2.5.1.** The Researcher Training and Development provision, which spans throughout all stages of the Researcher career, from Postgraduate Research Students to Early Career Researcher, Research Fellows, Postdoctoral Researcher to Academics and Senior Research Leaders, aims to instil and further develop the commitment to Research Integrity in our community. The Doctoral Training Programmes (Biotechnology and Biological Sciences Research Council (BBSRC), Economic and Social Research Council, Natural Environment Research Council, Arts and Humanities Research Council) utilize the core Researcher Academy training in RI for their cohorts.
- a. The following research integrity related courses were delivered either through the RA central programme of training for researchers. In 2023-2024, The following are open to all staff (all job families) and postgraduate research students in all faculties and professional services.
- Research integrity (Concise) (standalone) **(398 Attended and passed)**
 - Research integrity (Comprehensive) (standalone) **(165 Attended and passed)**
 - Introduction to the Code of Research Conduct and Research Ethics **(81 attended)**
 - Introduction to the ethics review - for new ethics officers and panel members **(15 attended)**
 - Introduction to the Nagoya Protocol and Access and Benefit Sharing **(8 attended)**
 - Introduction to Trusted Research and Export Controls
 - Identifying and Managing Intellectual Property issues in Research **(39 attended)**
 - What makes a study design robust? **(46 attended)**
 - Facing research dilemmas: reflexivity; equality, diversity and inclusion; ethics; transparency **(29 attended)**
 - Research Ethics for Doctoral Researchers **(103 attended)**
- b. In **total 897 researchers** (student and staff) and research-enabling staff have been trained during this reporting period through the core RA's training provision.
- 2.5.2.** The following courses are available within the faculty training programmes convened by the Researcher Academy on behalf of the respective faculty include (courses not included in attendance data) for the Faculties of Arts, Engineering and Medicine & Health Sciences. It is anticipated that these course attendance numbers will therefore be returned through the faculties.
- Patient, carers and public involvement in research
 - Open Access for Researchers
 - Good laboratory practice: fundamentals
 - Good laboratory practice: techniques
 - Good Clinical Practice training
 - Exploring ethics in research Embedding the 3Rs in Research
 - A question of ethics: the use of humans and animals in biomedical research
 - Introduction to Responsible Research and Innovation (online)
- 2.5.3. Internally** -The RA's training and development provision in the Research Integrity domain is informed and shaped by UKRIO guidelines and is delivered in partnership with the Head of Research Integrity. **External collaborations** – we offer online courses which have been developed by Epigeum (Sage Publishing).
- 2.5.4.** Working with the University of Nottingham Research Integrity and Research Ethics Committee, and the Head of Research Integrity, Governance and Compliance, RA helped in promoting and registrations for the Research in Action Week from 17-21 June 2024.

2.5.5. The Researcher Academy, through its many activities, holds membership and collaborates with a few organisations that have got Researcher Integrity in the very core of their mission. Among them are:

- UKRI (and its Councils)
- Wellcome Trust
- Leverhulme Trust
- U21
- Vitae
- EUA Council for Doctoral Education (EUA-CDE)

2.6. Human Resources- Current systems and culture, and Changes and developments

The HR Transformation Programme was established to create a framework for the HR Department, together with the right capacity and capabilities, to support the realisation of the 5 visions of the People and Culture Strategic Delivery Plan. During the period covered by this report, the HR Transformation Programme has moved from the initiation phase to early stages of implementation. This has seen the appointment of almost all of the additional 48 roles identified in the business case.

Several new teams were created in the new Department structure which have a direct impact on the Research Integrity Concordat:

2.6.1. The Organisational and People Development team's core function is to develop and support individuals, leaders and their teams to bring their authentic selves to work, in a safe and supportive environment. Our work focus will have a direct and indirect impact on the Research community. Our work is focused directly on staff, but improvement of staff culture indirectly can improve the experience of students.

- a. The Organisational and People Development (OPD) team** is responsible for providing strategic leadership for the delivery of organisation and people development, bringing together Professional Development and Leadership & Management Development under one umbrella alongside teams supporting EDI and Wellbeing.
- b. The Policy Team** oversees the development of policies and carries out a programme of policy reviews. This helps ensure policies are up to date and are both legally compliant and supportive of the University's desired culture and way of working. For example, in the past year, a number of policies have been updated to reflect new flexible working legislation.

2.6.2. The Organisational and People Development Team

- 2.6.2.1. Continues to work with **external provider People Insight** to offer a Stress Survey to the University. This survey has 3 phases and will cover all staff, including Research Staff. Indirectly this will impact on Research Integrity by supporting academic leadership to have the skills and tools needed to support their research staff.
- 2.6.2.2. Established a **People and Culture Community of Practice** which includes members of the research community and will provide a structured space for collaboration, development and learning.

2.6.3. Overall work for the period includes:

- 2.6.3.1. **Support for Research Culture:** An Organisational Development Manager has been assigned research culture as part of their portfolio and has a focus on ensuring research culture is embedded by design within our programmes. They also liaise with key stakeholders across the University in the Research Culture field to ensure initiatives are strategic and include lived experience and have developed networks external to our department and the University.
- 2.6.3.2. **Open conversations:** This project continues to embed open conversations as a method of two-way conversation, which will allow relevant staff to have more open and honest conversations in

the research arena. This will improve leadership, creativity and positive challenge. This work was started in part in response to the UoN research culture survey, and the wider People and Culture Survey which identified a need to support all our staff to have open discussions, that are inclusive and enable honesty without dissatisfaction or fear. This work will be developed throughout 2024 and will include Research specific case studies as part of the developing toolkit.

2.6.3.3. Embedding the University's values: this project includes work to embed values at all levels of the organisation and from the earliest stage. In-person inductions have been reintroduced with content on behaviours and values, this is reinforced through induction support. Updated guidance on Appraisal and Development Conversations includes support in referencing the University values in conversations. The review of learning provision noted below includes embedding values through learning. At the most senior level, dedicated programmes are underway with leaders to support them in understanding how the University's values are lived in that context.

2.6.3.4. People and Culture survey 2023: Between April and May 2023, we ran this survey for the whole of the University.

In the survey out of 1125 colleagues in named research roles there was

- 43% participation rate.
- 81% of these colleagues agreed that they are clear about what is expected of them at work.
- 74% of these colleagues are clear about how their work contributes to the success of the university
- 90% of colleagues said they have some say over their work.

In the survey out of 1516 colleagues named as research or teaching roles there was

- 66% participation rate.
- 77% of these colleagues agreed that they are clear about what is expected of them at work.
- 73% of these colleagues are clear about how their work contributes to the success of the university
- 83% of colleagues said they have some say over their work.

A series of leadership development sessions were delivered to support leaders with action planning to ensure improvements were implemented as a result of the survey and that the activity have positive impact.

2.6.4. Realisation of being a Learning Organisation: the team are leading the cultural shift towards becoming a learning culture and developing our conditions of learning. This encourages us to think about learning in the widest sense and grab opportunities when they arise.

2.6.5. Review of learning provision: self-leadership is being made a foundation to help ensure that trust and integrity is at the heart of behavior in future.

2.6.6. Charter marks: the team leads on a number of identified priority actions in the University's Athena Swan and Race Equality Charter Mark plans. These target improvements across a range of areas including recruitment practices, promotion, and workload. While not directly addressing research integrity these actions play a wider role in moving the University towards a fully inclusive research culture.

2.6.7. Both Research-only and Research & Teaching communities engage with a diverse offer of workshops, conferences, programmes of learning, resources, and reward and recognition schemes, including our Teaching and Learning Conference April 2024, Research Conference July 2024, Failure Festival (celebrating what we learn when things don't go so well), Lord Dearing awards, and Nottingham Recognition Scheme awards.

2.6.8. The wider HR department contributes to research integrity in the following ways:

- 2.6.8.1. The Department provides policy, and systems support to the academic Workload Planning Framework and the annual process which supports this. This includes governance mechanisms to ensure ongoing faculty and school engagement with the Framework, which has a range of aims including in relation to staff wellbeing, equitable allocation of workload, and efficient use of resources. This framework is an important way by which the University manages time allocation for individuals, ensuring academic staff have time allocated for research activities and continuing professional development.
- 2.6.8.2. The Department supports, operates, and provides advice in relation to recruitment and broader talent management activities, including support to the University's academic promotion process.
- 2.6.8.3. The Employment Relations team provides policy, guidance, advice and support in relation to grievance and disciplinary procedures, including mediation and other preventative activity. These provide important mechanisms for action on allegations of research impropriety, and to address behaviours which may be misaligned with our intended research and organizational culture.

2.6.9. Wellcome Trust funded project entitled REC-HURDLES: HR is in the first year of this £1million funded project:

- a. We are revisiting Employment Contracts and Help for Under-represented Researcher groups to Develop, Lead and Excel.
- b. This project has three named members of the HR team including the Interim Director of HR and the Associate Director of Organisational Development and has recruited a Project Manager.
- c. This research aims to directly address precarious employment practice and provide wider specialist career support for researchers, including removing barriers to career progression with targeted needs-based professional development support for researchers from disadvantaged and underrepresented groups.
- d. The research will conduct a root-and-branch review of the use and impacts of fixed term contracts for all researchers contributing to, supervising, managing, enabling and supporting the research ecosystem, irrespective of level of experience, or job family.
- e. We will identify and share sector and internal existing good practices and evaluate them for transferability/scaling and co-create pilot models of less precarious employment with researchers, aiming for approval and resource to change employment practices.

2.6.10. CoPilot research - HR is carrying out a pilot for the University using Microsoft 365 pilot with DTS. The project has engaged with the AI in RKE committee, and its governance includes the University's AI Executive Committee. This activity is relevant to RI in two ways

- a. Research ethics approval is being proactively sought to ensure a robust approach to this internal exploratory activity.
- b. This pilot allows the University to evaluate the use of AI tools prior to wider use, which will contribute to safe and responsible deployment for research purposes with respect to issues such as information security and intellectual property risk of outputs.

2.6.11. Working group, led by the Pro-Vice Chancellor for People and Culture and supported by a Project Manager has overseen the development of an approach for all research-relevant aspects of research culture and the research environment, building on the University Values. Organisational Development's involvement aims to ensure the plan complements and does not unnecessarily duplicate cross-university culture work. The plan has now been finalised and the themes within will be shared at the forthcoming Research Culture Conference.

2.7. Activities within the Faculties

In line with the CoPREC, each faculty has a Faculty Research Ethics Committee whereby the School Research Ethics Committees and/or Research Ethics Officers with the responsibility for research ethics, raising awareness of and providing training on research integrity and ethics, writing annual monitoring reports for Research Ethics Committees, and keeping their Schools informed about the University's policies on research integrity and ethics.

Below is a selection of the activities reported by the faculties within the University of Nottingham.

2.7.1. Faculty of Social Sciences:

a. *School of Education:*

- We have a core ethics review team in place, so a group of staff that are gaining experience in conducting ethics reviews.
- We have 3 moderators who review the reviews.
- There has been an up-lift in the quality of reviews. We have regular ethics core team meetings and use this time to share dilemmas and feedback.
- The School of Education Ethics Chair (Prof Gary Winship) deals with numerous queries, not just from colleagues in the School of Education but also across the university. We have had a number of challenges to consider when it comes to protecting participants and identifying the best ways to manage qualitative data. This is an area that has been of particular interest and the chair is a lead author on a paper about ethically managing qualitative research which is available (open access).
- The Association of African Universities (AAU), in partnership with the University of Nottingham (UoN) and the Ethical Data Initiative (EDI) launched a ground-breaking campaign for the inclusion of Data Ethics in Data Science education on a global scale. The campaign is important for protecting humanity in the digital economy including artificial intelligence, big data, the internet of things, and social media. SofE's work with the AAU is mostly around ethics in AI and data and does include research data ethics in higher education. It includes how we collect data, use it, store it and the laws governing this. We've been running webinars relating to this³⁴.
- This initiative aligns with UNESCO's focus on human rights economy, the right to science, academic freedom, and international scientific cooperation. This way AAU are also making a significant contribution to UNESCO's Operational Strategy for Priority Africa³⁵.

b. *Nottingham University Business School (NUBS):*

- The school Research and Integrity Officer Dr Gerardus (Gertjan) Lucas provided an overview of research ethics and integrity at the November school meeting.
- Workshops on research ethics and integrity for dissertations/projects were held for 1st and 2nd year PhD students, MBA students and executive MBA students. PGT students, who mostly use the delegated process (pre-approved protocols), must discuss research ethics and integrity with their Dissertation Supervisor and confirm this discussion has taken place as part of the Dissertation Proposal submission prior to any data collection. When submitting their Dissertation, they must provide a statement confirming that they have conducted their research according to the University research ethics and integrity guidelines and principles.
- Particular attention is paid to those rare occasions when PGT students wish to carry out projects that fall outside of the pre-approved research protocols (3 instances in 2023-2024). In those cases, students are required to follow the standard research ethics review (the same used for staff and PGR students).
- Since 2019-2020 NUBS has required PGR students to have their Ethics Checklist signed by their supervisors to enhance opportunities for a fuller appreciation and discussion of research ethics and integrity matters as well as to improve the quality of their research ethics opinion application prior to submission to the Research Ethics and Integrity Officer initially and to the REC subsequently.

³⁴ <https://www.nottingham.ac.uk/aaunews-events.aspx>

³⁵ <https://unesdoc.unesco.org/ark:/48223/pf0000382928.locale=en>

- The Research Ethics and Integrity Officer provides feedback and advice to students when requested or if necessary. Further details on the communication of research ethics and integrity requirements (incl. GDPR) are available on Moodle and in student handbooks.
- From 2021-2022 the NUBS research ethics review has required the applicant to have undertaken the university concise research ethics and integrity course and to confirm having done so as part of a REC application.
- We have continued regular review of the information on research ethics and integrity requirements and procedures for NUBS staff for both their own research and for their activity as PGR/PGT Dissertation supervisor.
- We provide links to relevant documents and online training courses on the NUBS Staff Information SharePoint and other places. Staff and PGR students are encouraged to attend Research Integrity Week and other events/workshops/trainings at the university related to research ethics and integrity. Several staff and students have attended one or more of these events and/or engaged with recorded content.
- Dr Gerardus (Gertjan) Lucas, module convener for BUSI4434 Research Methods for Management Studies covers research ethics and integrity in the module that is core to the MSc Business and Management, MSc International Business and MSc Management. Other colleagues teaching research methods and skills presumably would include similar content in their modules.
- We have supported several colleagues in the past year with administrative procedures involved in publishing that required evidence related to research ethics and integrity. This seems to be an increasing trend, especially where studies involve case study organizations.

c. *School of Sociology and Social Policy:*

- All new Research Ethics and Integrity Committee (REIC) Members are required to complete the mandatory Research Ethics and Integrity training and complete a 1:1 induction with the REIC Chair.
- All academics, students and professional services staff engaging in research that falls within the auspices of the SSP REIC are required to complete the mandatory Research Ethics and Integrity training and confirm this on their Ethics application form.
- The REIC promotes the University's annual research ethics and integrity week through our networks and channels.
- Our Spring Semester REIC Committee Meeting includes a series of "ethics snapshots" where we invite academics and professionals from outside of UoN to discuss ethics issues that are emerging through our review function.
- In 2023/24 our PGR Reps identifies researcher wellbeing, secondary trauma and emotion as key priorities. A PGR workshop was organised on this issue with contributions from academic staff. These themes were discussed at the SSP Committee Meeting in Autumn Semester and referenced to the Central University Ethics and Compliance Team.
- The School of Sociology and Social Policy is currently supporting research across the subject domains of sociology, social policy, criminology and social work. Our research touches upon a range of methodological and ethics issues relating to vulnerable and other unrepresented groups, healthcare interventions, individuals with first-hand experience of the criminal justice system, immigration control, and international development.

2.7.2. Faculty of Science:

All Schools in the Faculty of Science (FOS) appear to be increasingly engaging with research integrity activities and initiatives. New activities have been recorded by many of the named Research Integrity officers for each of the Schools.

The majority of the Faculty's Research Integrity officers attended the University's Research Integrity event organized by Head of Research Integrity, Governance and Compliance (Ali Alshukry) on 9 January 2024. This University level workshop for Research Integrity Officers was deemed to be a useful event for the Faculty and in terms of bringing together the wider University Community.

All but one of the School's Research Integrity representatives attended the Faculty of Science Research Ethics and Integrity Committee Meeting (FoS REIC) in January 2024.

The Faculty of Science is keen to support the review and development of training at PGR and staff levels and support the University level work in developing wider awareness raising activities in terms of specific research integrity areas, such as Trusted Research, Use of AI, International Research collaborations, etc.

a. *School of Biosciences:*

- **Approach to RI:** The School of Biosciences strives to embed discussions and approaches to Research Integrity across all of the School's research activities. Within the School research Integrity (RI) is discussed in parallel with and connected to Research Ethics and Research Ethics Review (RER) that is conducted by the School of Biosciences Research Ethics Committee (SB REC) and within the teaching and training activities of the School. As reported in previous years, Research Integrity in the School focuses on excellence in scientific practice (e.g. observing high standards, compliance, honesty as a researcher, etc.), addressing bad practice (e.g. misconduct in terms of FFP, secretive working, self-interest, etc.), as well as discussing and examining questionable research practice. The School endeavours to highlight how institutional responses and policies related to RI can support the good (e.g. through training, codes of conduct, UK Concordat implementation, mentoring, positive research culture etc.), raise awareness about the questionable and how UoN addresses the bad (e.g. procedures for investigating misconduct, whistle blowing, publishers approaches, etc.).
- **Teaching and training:** The School believes there is good coverage of Research Ethics and Research Integrity across the School's UG and PGT courses through embedded research ethics lectures.
 - The School strives each year to develop new training and embed this across new and existing PGT / PGR courses. PGR Training: A workpackage (WP) developed within the School of Biosciences on Research Ethics (RE) and Research Integrity (RI) and Public and Stakeholder Engagement has been running for 3 years now within the cross Faculty BBSRC DTP Programme. The content of this has workpackage has been developed over the last few years and is now delivered as two 20 credit Level 4 Module – BIOS4158 – Research Ethics and Integrity and Level 4 Module – BIOS4173 – Introduction to Public Engagement and Communication in Science.
 - The Module Convenors are Prof Kate Millar and Dr Michelle Hudson-Shore (Centre for Applied Bioethics) and this training capacity is being developed in association with the Researcher Academy.
 - The new 'Engagement' 20 credit module focuses on researchers' responsibilities to engage publics and support inclusive innovation and was delivered for the first time this year. An experimental design module has also been developed for Biosciences postgraduate students, BIOS4001 on Statistics and Experimental Design for Bioscientists, which was developed and is convened by Prof Murray Lark. This 10-credit module has now run for three years.
 - Researchers within the School of Biosciences are also developing discrete training that relates to specific research areas such as (i) Research Ethics Review training; and (ii) experimental design and animal research for early career researchers.

- **Wider Awareness Raising:** The School has further developed the School's Research Ethics and Integrity SharePoint page and links to the University's Research Ethics and Integrity SharePoint pages and the UK Research Concordat, alongside DPA 2018 documents / GDPR and other research ethics policy documents.

The School has introduced new Research Ethics and Research Integrity Training for new staff, run in January 2024. This training will be repeated annually for all staff with a focus on new staff, occurring in September of the next academic year. The School circulated the details of and actively promotes the Research in Action Week, held in June 2024.

- **The Centre for Applied Bioethics:** The School of Biosciences (and the School of Veterinary Medicine and Science) host the Centre for Applied Bioethics (CAB). This research group comprises of academic staff from across the University (Prof Millar, Prof Hobson-West, Prof Hyde, Dr Michelle Hudson-Shore), honorary professors and lecturers, research fellows and PhD students. These researchers are conducting research in the field of applied bioethics focused on animal, agri-food and environmental management issues, and participatory ethics. Some of the recent work has been funded by the European Commission, The Bill and Melinda Gates Foundation, The Wellcome Trust, British Academy, BBSRC, EPSRC, US funder NIFA, FRAME Charity, etc.
- Projects being conducted within CAB are examining themes of
 - (i) Ethics of Zoonotic Disease Control and One Health policies;
 - (ii) Ethics of Animal Use in Experimentation;
 - (iii) Development of tools and frameworks for ethical assessment;
 - (iv) The relationship between Responsible Research and Innovation (RRI) and Research Ethics,
 - (v) Development of Ethical Tools to support decision-making;
 - (vi) Openness and transparency in bioscience research;
 - (vii) Approaches to research ethics training for biosciences and the wider research community. Other academics in Biosciences, who have social science training, are also interested in research ethics questions related to their research topics (e.g. within the Division of Agriculture and Environmental Sciences; Division of Food, Nutrition and Dietetics).
- A new University of Nottingham ethics tool, Ethics in Research' Cards has been produced by Prof Millar (Biosciences) working with colleagues in School of Computer Science and School of Law. These cards have been used in training this year and the "Cards" will be available to purchase / order in the 2024/25 academic year.
- Prof Millar and Dr Hudson-Shore (School of Biosciences) have a research collaboration with the Fund for Replacement of Animals in Medical Experimentation (FRAME; 2019 onwards) and develop and run an annual Training School on Ethics, 3Rs and Experimental Design. The Training School this year was held at the University of Nottingham, April 2024. A number of University of Nottingham PGR students attended.
- Members of CAB, Prof Millar and Dr Hudson-Shore have also developed training for the Animal Ethics Committee. This year this training was delivered at the University of Luxembourg (June 2024) 'Ethics by Design Training: Supporting the Animal Experimental Ethics Committee'. In addition, BBSRC provided some supplementary funding for the 'Excellence in Research Practice' Training Work package for the development of an online Xerte Training package; "Introduction to the Public engagement"; This training links engagement principles to research ethics and research integrity principles. This will be made available next academic year as part of the BBSRC doctoral training programme (DTP) and beyond.
- Members of School are active in a number of Society's that have RE and RI activities, including The Nutrition Society; Society for Applied Microbiology; Society for Experimental Biology; British Ecological Society; British Society of Animal Science (BSAS); European Society of Agriculture

and Food Ethics (EurSafe). Each of these organizations has a Code of Conduct / a form of Scientific Integrity Policy.

b. School of Computer Sciences:

- In January, Prof Bernd Stahl delivered two workshops on RRI for the colleagues supervising AI projects. The workshop provided an overview of the concept of RRI and experiences of implementing it in different research settings, and focused on specific challenges AI can raise for RRI. Participants were guided to explore possible ways to implement an RRI action plan for their students.
- The ethics committee ran a short survey for all academic members of the School to share their experience and training needs with regards to research ethics and ethics reviews, to ensure our compliance with University policy.
- Staff are informed about requirements for all research (and ethics applications, including School-specific guidance and templates) and self-auditing of the research projects. School SharePoint to be amended for further clarification on what needs to be done for minimum risk taught student applications.
- Staff and PGRs are informed about the University's Trusted Research requirements.
- PGT students are introduced to Research Integrity during their Research Methods module (COMP4037).
- PGT and final year project students are informed about ethics application requirements and are trained to put an application as relevant to their projects.
- The Horizon Centre for Doctoral Training includes a compulsory module on responsible innovation (for new PhD students on that programme).
- Horizon Digital Economy Research, Trustworthy Autonomous Systems Hub (TAS Hub) and UKRI Responsible AI UK (RAI-UK) projects have mandatory sections for Responsible Research and Innovation (RRI) plans on their internal project proposal proformas, which are considered in the project review process. There are also specific activities to scaffold consideration of RRI during proposal development (e.g. in proposal development sandpits).
- A new research group, Responsible Digital Futures (<https://www.responsible-digital-futures.org/>) is found with involvement of members across the university. The group aims to build on and develop core research strengths, e.g. in responsible innovation, ethics of generative AI or social implications of emerging digital technologies.
- The School of Computer Science is a core member of the UKRI Responsible AI UK grant (<https://www.rai.ac.uk/>). This grant forms an open, multidisciplinary network bringing together researchers from across the UK, drawing on a wide range of academic disciplines to understand how we should shape the development of AI to benefit people, communities and society.
- There are two current research projects on Responsible Research and Innovation (RRI), under the umbrella of the Horizon Digital Economy Research Institute and the UKRI TAS Hub, focusing on RRI, on various topics such as digital forensics; investigating the use of automated systems for electoral regulations and benefiting management bodies; resilient, sustainable and efficient use of digital energy. Both projects look specifically at responsible research and innovation with trusted data-driven products and trustworthy autonomous systems. This is also supporting ongoing work developing card-based tools to facilitate reflection on technology system ethics (and legal and social issues) as well as RRI.
- Horizon, TAS Hub and RAI-UK promote research integrity as a guiding principle. As noted above, all projects are specifically required to address RRI and EDI issues from their early stages.

- Research paper has received honourable mention in the human-computer interaction flagship conference CHI'24 (<https://dl.acm.org/doi/full/10.1145/3613904.3641994>). Paper described the complex ethical approval process behind a multispecies project, spanning three Institutional Review Boards (IRBs) covering computer science, veterinary science and animal welfare.
- UKRI funded The Horizon CDT, Horizon Digital Economy Institute, TAS Hub have RRI project partnership with ORBIT, based at De Montfort University. These projects bring together a network of over 80 industrial partners.
- UKRI funded RAI UK has partnered with Partnership on AI (<https://partnershiponai.org/>) which is a nonprofit coalition committed to the responsible use of artificial intelligence. They also collaborate with a number of industry partners and governmental organisations, including the Department of Transport, 10 Downing Street, Government Office for Science, Maritime and Coastguard Agency and Metropolitan Police.
- UoN is partner of the EU project iRECS, www.irecs.eu ; which is led by EUREC, the European Research Ethics Committees network which works on supporting RECs in dealing with new technological developments.

c. *School of Physics and Astronomy:*

- PhD students are given mandatory training in this area. Since 2020 we have offered the (excellent) online training course from the Researcher Academy. This year we also introduced a school-run in-person session, offered to PhD students in the school (after they had completed the mandatory online training).
- Fourth year undergraduate module offered on Science in Society, which tends to spark discussions in the whole staff and student body.
- The Research Integrity and Ethics Champion attends the Research Operations Group in Physics (1 meeting every six weeks) to report and discuss actions and activities that have been undertaken to support and strengthen understanding and the application of research integrity. From January 2024 the Champion of Research Integrity and Ethics also attends the Faculty RIEC meetings.
- The School also has a Research Champion who runs a small network of Early Career Researcher (ECR) representatives. These can act as go-to-people for ECRs to share concerns and thoughts about our research culture.
- The research champion also acts as a go-to-person for researchers to air any concerns or worries in a confidential setting. Research champions across schools meet regularly and share ideas for good practice.
- The School is in the process of piloting a buddy system for new researchers, pairing them up with existing staff at the same career stage. This is designed to help facilitate settling in.
- It is school policy that all new staff must complete online short courses on “Unconscious Bias” and on “Bullying and Harassment” as part of the induction process
- We did a video interview with one of our research fellows discussing his experiences of having a neurodivergent condition throughout his education and career. This was advertised through the School’s newsletter last November.
- Botterill and Green have been working on raising awareness of fair attribution for both Technical and APM staff in terms of acknowledgements and authorships where justified. This message has been communicated within the School via the Research Operations Group, a mass email, and at opportune moments in other committees and informal meetings with academic colleagues. This is in direct compliance with the UoN code of research conduct and research ethics and is relevant to career development for Technical staff.
- Worked with colleagues to enable the School to join the IoP’s “Levelling Up” scheme, which promotes Widening Participation (WP) by providing tuition and mentoring for A-level students. We are tutoring and mentoring around 20 A-level students from WP catchment areas.

More than half of those students are female, and half are BAME. He gave a talk on Quantum technologies research to the cohort.

d. *School of Psychology:*

- The Psychology Ethics chair also deals with complaints or concerns raised around research studies conducted with human participants.
- PhD research programmes are supported by the training in research ethics provided by the Researcher Academy (delivered via different taught modules).
- Staff are advised to attend courses run by the university Leadership and Management Academy (LMA), many of which include a research integrity component, including the research leadership training programmes (suggestion for further training below).
- Inductions for new academic staff signpost SharePoint resources to support data management, open science and data sharing, information on research ethics and GDPR, with additional guidance for online studies. We also have a specific section on Research Ethics and Integrity (with useful links) as part of our online Research Ethics Induction. Channels for raising concerns are also flagged in various sections of the school SharePoint under Administrative Staff Contacts, Managing Your Research Project and in the Ethics sections. In addition, strategies to reduce risk are further reinforced by sessions (e.g. at awaydays) on Open Science (topics covered have included pre-registration, data sharing, the importance of rigor and reproducibility rather than journal ‘impact factor’).
- Staff conducting in vivo studies in the Biomedical Support Unit aim to Reduce, Refine and Replace (3Rs) the use of animals as far as possible and their published results conform to the ARRIVE Guidelines. We have been supported in the application of the 3Rs by our NC3Rs programme manager, Emma Stringer, and recruitment to replace Emma is ongoing. The NC3Rs programme manager also provides advice at the earliest stages of project planning. To support ongoing projects, we hold annual workshops to promote best practice across the Midlands universities (Birmingham, Leicester and Nottingham). Thus, the 3Rs are an integral part of our high standards for laboratory animal work and the associated reporting framework.
- The Chair of the School Ethics Committee deals with applications for ethical review of studies with human participants not requiring NHS ethics procedures, as well as complaints and concerns concerning studies conducted with human participants. Animal work conducted in the Bio-Support Unit is dealt with separately and requires Home Office training and licenses. We also have a School Health & Safety Committee.
- Good data management and data sharing are key to reducing the risk of poor practice or error. Support and training with data management are provided by the University. The first port of call for questions concerning research integrity are the School Operations Manager, Head of School, Chair of Ethics Committee (Stephen Jackson) or Director of Research (Helen Cassaday). We all have regular periods of open door working.
- **Professor S. Jackson** currently chairs the Scientific Advisory Board of the Federation of European Societies for Neuropsychology.

2.7.3. Faculty of Engineering:

- Staff across the faculty are members and fellows of a range of organizations and learned societies
- **Dr Oliver Fisher**; published research in Research Integrity and Peer Review journal on how methods to embed EDI into research networks and funding processes
<https://researchintegrityjournal.biomedcentral.com/articles/10.1186/s41073-024-00144-w> .
- **Dr Fisher** leads a £40k services-rendered project commissioned by the University of Exeter. This project evaluates and reflects on the lessons learned from embedding EDI principles across the National Interdisciplinary Circular Economy Research (NICER) Programme. NICER is a four-year £30 million investment from UKRI aimed at advancing the UK toward a circular economy.
- **Dr Fisher** holds the position of EDI Co-I lead for the new EPSRC funded Network Plus called the “Digital Innovation and Circular Economy (DICE) Network+,” £2.5 million. Our network aims to foster interdisciplinary collaboration, research, and technological innovation, guiding

industries, governments, and communities toward a digitally enabled, sustainable, and inclusive circular economy.

- **Dr Fisher** contributes as a peer reviewer for the Equality, Diversity, and Inclusion Caucus (EDICa) network's Flexible Fund Round 2 call. This fund supports £100k research projects addressing persistent inequalities within the Research & Innovation (R&I) ecosystem.
- **Dr Robin Irons**; All students within the Nottingham-led EPSRC Centre for Doctoral Training in Resilient Decarbonised Fuel Energy Systems (RDFES-CDT) undertake two 10-credit modules (Energy, Technology and Society and Energy Policy, respectively) both of which reflect the role of technology within society, the ethics of energy production and cost and the role of policy/people and technologists in shaping the future form of the energy world.
- Touching on one of the following questions, all the CDT students take part in out-reach events, informing many sectors of their work and of their experiences as researchers, explaining STEM, engaging the next generation of researchers and the general public. Activities have included talks/discussions at 'Green' fairs, primary, secondary schools, science fairs and interaction on online platforms.
- **Dr Michael Craven**; The £3m NIHR MindTech HealthTech Research Centre which I am a co-investigator on, and also linked to my role as Principal Research Fellow in the Faculty of Engineering 'Human Factors Research Group', has a strong element of RRI. This work is taking place in the research theme I am leading on 'Methodologies in mental health technology research and implementation'. A main aim of the theme is to develop and sustain a culture of responsibility and provide leadership and expertise to identify and address uncertainties and risks associated with novel areas of Mental HealthTech research.
- **Dr Craven** is also signed up to be part of UoN's role in [RAI UK](#), and was invited project reviewer for the [HEAD Residency Program event](#). The residency program is part of the 'TAS Hub and Good Systems Strategic Partnership' project, funded through RAI UK: Creating an International Ecosystem for Responsible AI Research and Innovation award.
- **Dr Jo Darkwa** was a speaker and Panel Member at: The Connect and Collaborate Conference organised by the Association of Commonwealth Universities in London on the 23rd of February 2024.

2.7.4. Faculty of Arts:

a. Students

- Students receive ethics training at all levels. At one point this was very focused on explaining the ethics application process but has evolved to include guidance on Research Integrity and advice that applies to the whole research process.
- Individual modules where data-collection is required, or likely, have ethics and RI details on their respective Moodle pages. Typically, this includes general info and outward links to higher level resources, but also topic specific requirements and considerations.
- The large cohort of distance learners in English all have open access to a full pod (module) on Data-collection and Ethics. This covers RI advice and considerations for all stages of their research, as well as detailed information on application processes, data storage, anonymity, EDI, etc.

b. Staff

- Staff have access to all the standard central training courses and web resources, with periodic email reminders of these sent out by Faculty or School ethics officers.
- Specific events are highlighted to staff via email or in School meetings, such as Research Culture Workshops, or Research Integrity Week.
- New staff have ethics and RI training as part of their induction process

c. General

- Delegated Assessment
 - Where delegated assessment is in place for a module, information on good practice is typically included within the application process itself. This provides frequent reminders to students of RI and how it applies to their own work.

- A practice that we have been encouraging in the Faculty is to use Delegated Assessment on any module where data-collection is likely, and, notably, to require all students on that module to submit an application, regardless of whether they plan to collect data. By requiring all students to submit a form, it is easier to ensure students have properly considered whether their work requires ethical approval and serves to enhance RI by reminding students of important RI factors relevant to the particular module's content or methods.
- We will be producing some additional resources and refreshing others in the coming semester. The main focus of this is to highlight areas where ethics applicants often struggle or overlook things, and to provide additional advice on Research Integrity. It may be helpful to engage with other Faculties at certain points in this process to see examples of good practice or successful training or documentation.
- A previous study, by Matt Duncombe in Philosophy, examined "Transformative experience and informed consent". A planned study in English aims to look at barriers to research participation and issues of consent from people of lower socio-economic backgrounds or with low levels of trust in universities as institutions.

2.7.5. Faculty of Medicine and Health Sciences:

a. *School of Health Sciences:*

- Provides two co-leads as Research Integrity and Ethics Champions – Dr Nicola Wright and Dr Katharine Whittingham. Key responsibilities include:
 - Promoting research integrity and excellence in research across the School of Health Sciences.
 - Ensuring that all staff are aware of the need to follow ethical procedures and providing guidance on where to find necessary information to those undertaking such work.
 - Ensuring that research integrity principles and standards are embedded and considered in all relevant school activities.
 - Delivering training to maintain excellence and integrity in research.
- In 2023/24 the Research Integrity and Ethics Champions provided formal timetabled sessions (for students across UG and PG provision) and individual support as required. The formal taught sessions cover topics such as ethical principles and dilemmas in research and research governance process.
- Staff can access the Researcher Academy and Central Professional Development services for relevant training. All new appointments on either a Research only or Research and Teaching pathway are required to complete the concise research integrity online package as part of the induction process.
- As members of the Faculty of Medicine and Health Sciences (FMHS) Research Ethics Committee the co Research Integrity and Ethics Champions regularly undertake formal review and approval of staff and student projects. As part of this process, all applicants must confirm that they have completed a research integrity course and are encouraged to attend additional seminars and training sessions available in house (for example via the Research Community of Practice) and through national organisations such as UKRIO.
- The School also has robust governance in place as follows: a peer review system for research grant applications; a lone worker protocol; guidance on the responsibility of Principal Investigators including payment to research participants; guidance on good practice in research; a risk assessment protocol and advice.
- The School operates a research mentoring scheme, both formal and informal. Staff have access to additional support within their Research Groups. For all awarded research projects and PhDs, the Principal Investigator is required to undertake and complete a Risk Assessment form which is kept on a central file.
- The School's Research Integrity and Ethics Champions are the first point of contact for staff and students on matters relating to all aspects of research design and implementation which have a

bearing on the ethical conduct of their research. They offer an informal opportunity for researchers wishing to discuss research integrity issues. This includes advice regarding navigating the complex processes of obtaining HRA and NHS Trust approvals for projects. Guidelines and document sets are provided to support these.

- The University of Nottingham's Code of Research Conduct and Research Ethics is made available to all PhD students. All staff are encouraged to access online resources and to attend the Research Integrity Workshops organized by the University throughout the year.
- The Research Integrity and Ethics Champions are both external members of the University of Nottingham School of Pharmacy Research Ethics Committee. In the 2023/2024 academic year Dr Wright was also an expert member of the NIHR Research for Patient Benefit Underrepresented Disciplines national panel. In addition, individual staff members within the School of Health Sciences hold positions which impact on research integrity, for example roles on editorial boards and associate editorships of journals, membership of funding bodies (NIHR, national charities) and membership of professional bodies (RCP, RCN, CSP, BPS, UKSBM).
- The School of Health Sciences is active in promoting research integrity through patient and public involvement (PPI) within all research projects and activities. Several research groups have dedicated PPI panels (for example Maternity, NCARE and Mental Health). In addition, public engagement is supported by core funds and a dedicated academic member of staff at Director level. PPI group members actively support research integrity in several ways: reviewing and commenting on design and ethical aspects of research proposals and participant documents, attendance at REC meetings, involvement as co-applicants on research projects, ongoing involvement in review of study progress, data collection, analysis, review of findings and knowledge exchange activities.

b. School of Life Sciences:

- **Professor Thorsten Allers** was a participant at the Trusted Research training event at the Engineering and Science Learning Centre, University of Nottingham, on 11 October 2023.
- **Dr Andrew Renault** included as part of the compulsory 'LIFE4051 Research presentation skills' module for fourth year undergraduate MSci students (40 in total), an hour-long session of research integrity in preparation for their 4th year project. Using hypothetical scenarios (tailored to the dilemmas bench scientists might face), students were invited to discuss research integrity implications. Material available here: <https://moodle.nottingham.ac.uk/mod/resource/view.php?id=7236339>
- School of Life Sciences has an ethics Committee that monitors all activities requiring ethical approval. All our research is compliant with the requirements of RCUK, WT and other funding bodies. Our research is compliant with the University policies.
- **Prof. Liz Sockett** has contributed to widening diversity and inclusion in STEM research careers by membership and work on the Royal Society Diversity and Inclusion Committee. She promoted women's inclusion and recognition in STEM by working on the Rosalind Franklin Award Committee. Working with UoN RIS staff she has helped mentor applications from young postdocs from black heritage backgrounds to the new Royal Society Career Development Fellowships launched in Nov 2023.
- **Dr Blount** was invited to participate in the workshop "Creating spaces for responsible innovation in Synthetic Biology- a joint workshop as part of Future Organisms and the Edinburgh-Rice Strategic Collaboration" at the Nuffield Council on Bioethics on the 5th September 2023. He was invited to deliver a talk summarising the workshop and giving closing remarks for the day

c. School of Veterinary Medicine and Science:

- The School's induction of all new academic and research staff includes discussion of the responsible conduct of research, including ethical review, research integrity and the UoN Code of Research Conduct and Research Ethics.
- Research integrity is reinforced as part of the annual ADC process of academic and research staff.
- Circulation and promotion of UoN Code of Research Conduct and Research Ethics is undertaken via email and at regular staff meetings.
- Promotion of the University's Annual Research Integrity Week events and the University's Research Culture conference is undertaken via email to all staff and research students.

- Promotion (via email, staff meetings, induction of all new staff) of the requirement for all proposed school research projects to undergo ethical review via submission of a School Research Project Review Form (see section 6), with regular updates on new developments provided at staff meetings.
- Research integrity workshops are organised for staff and PGR students twice per year. These alternate between face to face and on-line to accommodate all staff.
- The School, via its' Committee on Animal Research and Ethics, has established a Working Group on 'Ethics of animal tissue use in teaching', to review and develop policies and procedures for animal use (live and cadaver) ethics.
- Professor Richard Lea (Ethics Officer and Research Integrity Champion) provides a route for confidential advice to PGR students and staff on issues concerning research integrity.
- Professor Lea attends update meetings organised by the University Research Integrity and Ethics Committee (URIEC).
- **PGR activities:**
 - Responsible conduct of research and research integrity introduced as part of the induction process and student handbook.
 - Promotion (via email, staff meetings) of the Research Integrity online course, the University's Research Integrity week and the School's Research Integrity workshops.
 - Research integrity reinforced as part of regular supervision meetings and annual reviews.
 - Implementation of statistical analysis training as part of the UoN-University of Birmingham (UoB) TRANSFORM project: Teaching Resources for Applying Numeracy and Statistics for Objective Research Methods.
- **Professor Campbell**, together with other staff within the School and external organisations, also currently leading a project (2022-) on the development of an ethical framework to support the function of the veterinary animal care team.
- **Professor Madeleine Campbell**,
 - Professor of Veterinary Ethics within the School, and a leading expert on animal welfare, ethics and law (EBVS® European Veterinary Specialist in Animal Welfare Science, Ethics and Law).
 - Leading initiatives to develop ethical frameworks for the use of animals in sport; and is leading a project with the World Horse Welfare to implement a new ethical framework for competitive horse sports.
 - Delivered various talks and seminars including:
 - 'A Good Life for Every Greyhound', at the GBGB's Annual Vets' Conference on 13 October 2023.
 - MVS Seminar: Is using animals in sport ethical? by Prof Madeleine Campbell (2 Feb 2024) <https://www.youtube.com/watch?v=CvwYLf5yLmQ>
 - 'Providing a 'good life' for retired greyhounds – factors influencing successful homing and proposed mitigations', at the Companion Animals New Zealand 2024 Conference (12-13 March 2024), New Zealand.
 - Panel Chair for session on 'Animal welfare, ethics and rights' at the Animal Welfare Foundation's Discussion Forum 2024, held on 13 May 2024 in London.
 - 'Finding common ground amongst those with different views – are there shared goals that can be built on / philosophy as it relates to animal welfare', at the Wild Animal Welfare Committee Conference 2024 (16 May 2024).
 - 'Shared principles: Pulling together to enhance standards of animal welfare in sport', at the TBA BLOODSTOCK CONFERENCE 2024, Tuesday 25th June 2024 at Tattersalls, Newmarket.
 - Professor of Veterinary Ethics is Chair of the British Veterinary Association's (BVA's) Ethics and Welfare Advisory Panel. This is a standing committee of the BVA Council. Its purpose is to advise the BVA Policy Committee and policy working groups on ethical and welfare issues to consider in the development of policy on all veterinary policy matters. This includes animal health and welfare, public health, and veterinary professional issues.
 - Chair (since 1 Jan 2023) of the UK Government's Animal Welfare Committee. The AWC advises the Department for Environment, Food and Rural Affairs (Defra) and the Scottish and Welsh Governments on the welfare of animals.
 - An Independent Director of the Greyhound Board of Great Britain and has led on the development of GBGB's new long-term welfare strategy 'A Good Life for Every Greyhound'. She also sits on Ethics Review Panels for various organisations, including the Royal College of Veterinary Surgeons, Zoological Society of London, the British Horseracing Authority and is a member of the FEI's (Federation Equestre Internationale) Equine Ethics and Well-Being Commission to address the involvement of horses in sport. In addition, she Chairs the newly

- established (Jan 2023) British Equestrian (BEF) Board's Equine Welfare and Ethics Advisory Group.
 - Also, Director of EMPATHY VETERINARY ETHICS (<http://empathyethics.com/about/>), providing consultancy, training and clinical veterinary ethics service.
- Publications from staff relating to research ethics/integrity include:
 - **Campbell, Madeleine L. H.** (2023). Ethical Justifications for the Use of Animals in Competitive Sport. *Sport, Ethics and Philosophy* 17 (4):403-421. DOI 10.1080/17511321.2023.2236798
 - Gibson J, **Brennan ML**, Oxtoby C, Mossop L, **White K.** [Ethical challenges experienced by veterinary practitioners in relation to adverse events: Insights from a qualitative study.](#) *Vet Rec.* 2023 Dec 16;193(12):e3601. doi: 10.1002/vetr.3601.
 - Brown B, Cardwell JM, Verheyen KLP, **Campbell MLH.** [Testing and Refining the Ethical Framework for the Use of Horses in Sport.](#) *Animals (Basel).* 2023 May 31;13(11):1821. doi: 10.3390/ani13111821.
 - **Campbell M.** *Animals, Ethics and Us: A Veterinary's View of Human-Animal Interactions.* 5M Books Ltd; 2019. ISBN-10: 178918049X, ISBN-13 978-1789180497.
- **Professor Richard Lea and Michael Clark** (Chair & Deputy Chair of the School's Committee on Animal Research and Ethics (CARE))
 - Members of a newly established (2023) UK Association of Veterinary Ethics Committees (AVEC). The Association members meet every 2-3 months to discuss issues relating to animal ethics, exchange best practices and to establish training for ethics committee members.
 - All new academic staff meet with the Chair of CARE as part of their induction to clarify School processes relating to ethical review. All research projects in the School (including undergraduate student summer projects, staff projects related to PGCHE qualifications, projects not requiring funding etc) undergo ethical review at the proposal stage.
 - Students on the Masters in Veterinary Physiotherapy participate in an interactive research ethics training session led by the Chair of CARE before developing their research project proposals.
- Regular updates on the Human Tissue Research Compliance Programme (acquisition, handling, tracking and governance) are provided to all CARE members and to relevant school committees (Research Committee). As further clarity is obtained these processes will be communicated to all staff via e-mail, staff meetings and through new staff inductions.
- Teaching and ethics training is provided to undergraduate veterinary students across the course. Notably, third year vet students undertaking the Research Module receive a lecture on research ethics provided by the Chair or Deputy Chair of CARE. Students are asked to design a research project in the form of a grant application and are asked to provide an ethical perspective around the project.

d. School of Medicine:

- The School of Medicine promoted the University of Nottingham Research in Action Week (previously known as Research Integrity Week (w/c 17th June)) in the School Weekly Newsletter to all staff. The School has also launched its internal Research and Knowledge Exchange intranet, which is available to all staff, and which includes on its homepage a section on Research Governance and Integrity. The Research Governance and Integrity section includes links to University clinical research governance policies and the University's Research Ethics and Integrity SharePoint site.

2.8. Activities within University of Nottingham - Malaysia

The University of Nottingham Malaysia (UNM) have established a new campus-wide committee to coordinate research integrity and research ethics activities at the Malaysia campus. This committee modelled on the UK campus's URIEC. It oversees research integrity and research ethics activities of the Faculty of Science and Engineering (FOSE) and Faculty of Arts and Social Sciences (FASS), and report to UNM's Research and Knowledge Exchange (RKE) Committee and the UK's URIEC. The chair is Dr Steve Stewart-Williams from the School of Psychology who is also a member of UK's URIEC.

a. Faculty of Arts and Social Sciences (FASS) Research Ethics Committee (REC):

All Directors of Research and/or School Research Ethics Officers have been requested to advise their colleagues and PGR students in their school to self-enrol on the FASS REC Moodle page. This page contains relevant guidance and information on research ethics, i.e., the University's Code of Research Conduct and Research Ethics, application forms and procedure, and online training on research ethics that can be accessed freely. Supervisors are expected to ensure that their PGR students gain ethical clearance from FASS REC, if needed, before collecting their data.

• **Staff Activities**

- Ensure the faculty and school research ethics processes are clearly communicated to staff by:
 - Encouraging existing staff to self-enrol on the FASS REC Moodle page.
 - Enrolling all new staff automatically on the FASS REC Moodle page
 - Including relevant information on FASS REC and ethics processes in the school's research handbook
 - Placing the School's research ethics protocol and forms on SharePoint and/or the School's Teaching and Learning Moodle page
- Incorporate research ethics and integrity into the induction for new staff (e.g., build in a one-to-one session with the School Research Ethics Officer, provide relevant information in a handbook, etc.)
- Email reminders to staff (at the start of each academic year) to include the school's research ethics guidance and forms in their module Moodle pages as well as advice on ethical review in their module handbooks.
- Email reminders to staff to use the latest application forms and templates provided via the FASS REC Moodle page.
- Encourage staff to self-enroll on the 'Research Integrity: Comprehensive' Moodle course and to engage with the online training provided in the page)
- Remind staff of the research ethics process whenever applications for research grants are made.

• **Student Activities**

- Incorporate research ethics and integrity into the induction for new PG students (e.g., highlight research ethics training conducted by the Graduate School (GS))
- Email reminders to PGR students to use the latest application forms and templates provided via the FASS REC Moodle page.
- Encourage PGR students to self-enroll on the 'Research Integrity (Social Sciences)' Moodle course.
- Request PhD to attend research ethics workshops/training by the GS, especially if they are conducting interviews or surveys with human participants.
- Conduct annual workshops on ethics policies for PG students by individual School and GS.
- Include general information about ethics and the relevant forms that students must complete in programme handbooks, programme Moodle pages, module handbooks and/or Moodle pages for modules.
- Offer a research methods module to PGT students as part of their MA programme.
- Build in ethics considerations/training into taught modules that have research element.
- Incorporate an ethics/proposal stage into taught modules that have a research element to ensure ethical clearance is gained prior to any data collection.
- Conduct a briefing session/training on research ethics and the ethics review process for each run of modules with research elements (e.g., dissertation modules).
- Email reminders to students about the ethical review around the time they are completing their dissertation research proposals.
- Ethics briefing for UG/PGT students at the early commencement of PSGA3001 (Research in Applied Psychology) and PGSA4001 (Applied Research Projects)
- NUBS conducted a briefing on research ethics for MSc and MBA programs upon enrolment of the new cohort.

b. Faculty of Science and Engineering Research Ethics Committee:

- Ethics Workshops for New Graduate Students and New Staff Members: With each new intake of graduate students (twice per year), the Graduate School puts on an ethics workshop run by the Chair of RIREC. The workshop explicitly deals with a range of research-integrity issues.

- Individual Schools/Departments run separate sessions on research ethics and research integrity as well. These sessions are delivered at the beginning of the Final Year Project modules.
- Researchers (both staff and student) of the Faculty of Science and Engineering are encouraged to view and access the 'Science and Engineering Research Ethics Committee' Moodle page. It explains the processes that need to be followed for submitting applications for ethical approval, procedures related to allegations of misconduct, standard templates of official forms, codes of conduct, and links to further information.

2.9. Activities within University of Nottingham - Ningbo/China

- Formed the subcommittee of research ethics on medical research and life sciences in UNNC based on the requirements of Chinese government.
- Digitalise the UNNC Research Ethics Process for Staff and Research Students through BPM, and will go live soon.
- Conducted trainings to staff and students
 - Introduction of research ethics to new staff, Sep 2023;
 - Introduction of research ethics to new staff, Feb 2024;
 - Introduction of research ethics to new intakes of Ph.D. students, Sep 2023;
 - Research ethics and integrity training to Ph.D. students in their Research Design class, Oct 2023;
 - Introduction of research ethics to new intakes of Ph.D. students, Feb 2024;
 - Research ethics and integrity training to Ph.D. students in their Research Design class, Feb 2024;
 - Introduction of research ethics to PGT students for dissertation, Feb 2024;
 - Introduction of research ethics to UG students for dissertation, Oct 2023;
 - Graduate School Research Ethics Training, Oct 2023;
 - Graduate School Research Ethics Training, Nov 2023;
 - Graduate School Research Ethics Training, Mar 2024;
 - Graduate School Research Ethics Training, Apr 2024;
 - Graduate School Research Ethics Training (online), May 2024;
 - Training Session on Research Ethics Triggers and Mitigations offered by Ali Alshukry, 14 May 2024;
 - CELE Bi-annual induction sessions covering key aspects of research ethics in the CELE context for staff prior to autumn and spring semesters;
 - CELE Weekly research ethics office hours available for staff enquiries during autumn and spring semesters; available by request during the summer period.

The recently established Research Integrity, Risk and Compliance team have already started new internal audit process to assure compliance with Trusted Research, Nagoya protocol, the established bullying and harassment declarations, human tissue, and research governance requirements. The team are now establishing Research Risk Assurance framework to capture and ensure compliance with regulatory, contractual, ethical, and policy requirements across the board. We will report on these in future reports.

Section 3: Addressing Research Misconduct

3.1. Reporting and Handling Allegations of Research Misconduct

The University has relevant policies and procedures to respond to research misconduct; namely The Code of Practice on Handling Allegations of Research Misconduct³⁶, Policy on academic misconduct³⁷ Regulations of

³⁶ <https://uniofnottm.sharepoint.com/sites/ResearchEthicsandIntegrity/SitePages/Research-Misconduct.aspx>

³⁷ <https://www.nottingham.ac.uk/qualitymanual/assessment-awards-and-deg-classification/pol-academic-misconduct.aspx>

Academic Misconduct, Staff Disciplinary Procedure³⁸, Whistleblowing (Public Interest Disclosure) Code³⁹, Grievance Procedure⁴⁰ and the University of Nottingham Ethical Framework⁴¹.

These procedures have appropriate principles and mechanisms to ensure that investigations are thorough and fair, carried out in a transparent and timely manner, and protected by appropriate confidentiality. As all these procedures and policies are reported into different administrative services, the University Research Integrity Officer (The Pro-Vice-Chancellor for Research and Knowledge Exchange) and the Head of Research Integrity, Governance and Compliance are the main points of contact for reporting allegations of research misconduct at an institution level and the University's Head of Research Integrity, Governance and Compliance ensures compliance with the Code of Practice on Handling Allegations of Research Misconduct and keeps a record of any investigations.

3.2. Anonymised Summary on Investigations into Allegations of Research Misconduct

The University's Code of Practice on Handling Allegations of Research Misconduct process provides clear definition of Research Misconduct and the procedures to be followed in line with guidance from UKRIO, UKRI, and the Advisory, Conciliation and Arbitration Service (ACAS). The University's proficiency in promoting and raising awareness of research integrity has increased, and consequently the number of cases on research misconduct investigated have decreased compared to the number of cases reported in previous years.

The Faculty Research Integrity Advisors and School Research Integrity and Ethics Champions roles have substantially supported the promotion of Research Integrity and excellence in research across the schools and raised awareness of ethical procedures, providing basic guidance to all researchers within the University. They have utilised the resources made available by UKRIO⁴² and the support provided centrally, to engage and raise awareness in this area.

The details of investigations into allegations of research misconduct reported this year are as below:

- **Between 1 July 2023 and 30 June 2024:**
 - Several complaints were received throughout the period, the majority of which were resolved by mediation before any research misconduct taking place.
 - It is noted that although many disputes were around authorship, similar to previous year, but they were substantially less. This is attributed to increased awareness of the Research Integrity Advisors and Champions at Faculty and School level, and increased awareness of the guidance in this area.
 - It is also noted that many complaints were not research related, but employed the “*Ethics*” and “*Integrity*”.
 - All the complaints received by the Head of Research Integrity, Governance and Compliance did not fall with the research misconduct remit, as defined in the Code of Practice on Handling Allegations of Research Misconduct and the Concordat to Support Research Integrity.
 - Complainants were discussed with the complainants and then redirected to the appropriate procedures, relevant institutions or advised on the best course of action.

- **Between 1 July 2023 and 30 June 2024**, only 1 PGR student in Medicine-Taught Module was investigated for **academic misconduct**. This resulted in allegation of Fabrication being upheld.

³⁸ <https://www.nottingham.ac.uk/hr/guidesandsupport/performanceatwork/disciplinaryprocedures/index.aspx>

³⁹ <https://www.nottingham.ac.uk/governance/otherregulations/whistleblowing/index.aspx>

⁴⁰ <https://www.nottingham.ac.uk/hr/guidesandsupport/complaintsgrievanceanddignity/grievance/index.aspx>

⁴¹ <https://www.nottingham.ac.uk/governance/otherregulations/ethical-framework.aspx>

⁴² <https://ukrio.org/research-integrity-resources/authorship/>

Reference No.	Staff/student	Funder	Fabrication	Falsification	Plagiarism	Misrepresentation	Breach of duty of care	Improper dealing with allegations	Other	Allegations upheld
n/a	Student (PGR) (PGR) Medicine Taught module	n/a	Fabrication of Reference	0	0	0	0	0	False Authorship in the use of AI software	1

Formal Investigations between 1 July 2023 and 30 June 2024

3.3. Lessons Learned

Lessons learned assessment is undertaken after every complaint for the purpose of recording, sharing, avoiding any shortfalls identified, improving current standards and good practices, and contribute to organisational growth and maturity by achieving long term improvements in the way we embed and share best practices.

- We have continued to raise awareness and provide clearer communications, for researchers at all levels.
- The introduction of Research Integrity and Ethics Champions and Advisors had a positive impact due to their role, at local level, for confidential advice and signposting to the appropriate training, guidance and policies.
- The Research Integrity and Ethics Champions and Advisors have played an important role in liaising with the Head of Research Integrity, Governance and Compliance to address queries and potential complaints coming their way.
- The Research Integrity, Governance and Compliance Team have dealt with and supported over 500 Research Integrity and Ethics queries from Researchers, Research Ethics Committees, Clinical Research Teams, and professional services across the university.

Section 4: Closing statement

This annual statement summarises the actions and activities that the University of Nottingham has undertaken to sustain and further enhance research integrity.

This statement draws a picture of the activities undertaken within the University of Nottingham in 2023-2024 academic year, but by no means a full picture of the commitment of our researchers (students and staff), administrative and professional services, and leadership to uphold the highest standards of rigour and integrity and their dedication.

This statement confirms the University's compliance with the Concordat to Support Research Integrity as stipulated under commitment 5 "*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*".

List of Acronyms

3Rs - Reduce, Refine and Replace
AAU - Association of African Universities
ACAS - Advisory, Conciliation and Arbitration Service
ADC - Appraisal and Development Conversation
AI – Artificial Intelligence
APM – Administrative, Professional and Managerial
ASPA - Animals (Scientific Procedures) Act 1986
AWERB - Animal Welfare and Ethical Review Body
BAME – Black, Asian, Minority Ethnic
BBSRC - Biotechnology and Biological Sciences Research Council
BSAS - British Society of Animal Science
BVA - British Veterinary Association
CAB - Centre for Applied Bioethics
CARE - Committee on Animal Research and Ethics
CDT - Centres for Doctoral Training
CoPREC - Code of Practice for Research Ethics Committees
DClinPsy - Degree of Doctor of Clinical Psychology
DTP – Doctoral Training Programme
DTS – Digital Technology Services
ECR – Early Career Researcher
EDI – Equality, Diversity, and Inclusion
EPSRC - Engineering & Physical Sciences Research Council
ESRC – Economic and Social Research Council

ESRC IAA - Impact Acceleration Accounts
EurSafe - European Society of Agriculture and Food Ethics
FASS - Faculty of Arts and Social Sciences
FMHS – Faculty of Medicine and Health Sciences
FOA – Faculty of Arts
FOE – Faculty of Engineering
FOS – Faculty of Science
FOSE - Faculty of Science and Engineering
FOSS – Faculty of Social Sciences
FREIC – Faculty Research Ethics and Integrity Committee
GDPR – General Data Protection Regulation
HR – Human Resources
HRA – Health Research Authority
IoP – Institute of Psychiatry
LMA - Leadership and Management Academy
MBA – Masters in Business Administration
MHRA - Medicines and Healthcare products Regulatory Agency
NHS – National Health Service
NICER - National Interdisciplinary Circular Economy Research
NIHR - National Institute for Health and Care Research
NUBS – Nottingham University Business School
OA – Open Access
OPD - Organisational and People Development
PGR – Post Graduate Research

PGT – Post Graduate Taught
PPI - Patient and Public Involvement
PVC RKE - Pro-Vice-Chancellor for Research and Knowledge Exchange
RA – Researcher Academy
RDM - Research Data Management
RDN - Research Delivery Network
REC – Research Ethics Committee
RI – Research Integrity
RIS - Research Information System
RKE - Research and Knowledge Exchange
RRI - Responsible Research and Innovation
RSBI - Research Systems & Business Improvement
SB REC – School of Biosciences Research Ethics Committee
SSP - Sociology and Social Policy
UKRI - UK Research and Innovation
UKRIO - UK Research Integrity Office
UKRN - UK Reproducibility Network
UKVI - UK Visas and Immigration
UNM – University of Nottingham Malaysia
UNNC - University of Nottingham Ningbo-China
UNUK – University of Nottingham UK
UoN – University of Nottingham
URIEC - University Research Integrity and Research Ethics Committee