



University for the Common Good

# Research Integrity Policy Statement 2018 - 2019

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**Glasgow Caledonian University, Research Integrity Policy Statement:**

# Implementing the principles of the UK Concordat on Research Integrity

**This Policy Statement provides an overview of the response of Glasgow Caledonian University to the Concordat to Support Research Integrity, published by Universities UK in July 2012.**

As well as an overview, an additional purpose of the document is to 'signpost' the reader to the more-detailed policies and procedures dealing with the five commitments contained in the Concordat, these being:

- maintaining the highest standards of rigour and integrity in all aspects of research;
- ensuring that research is conducted according to appropriate ethical, legal and professional frameworks, obligations and standards;
- supporting a research environment that is underpinned by a culture of integrity and based on good governance, best practice and support for the development of researchers;
- using transparent, robust and fair processes to deal with allegations of research misconduct should they arise;
- working together to strengthen the integrity of research and to reviewing progress regularly and openly.

The Statement is, thus, intended to inform the public, the academic community, Research Councils UK, the Scottish Further and Higher Education Funding Council (SFC) and other research funders about how Glasgow Caledonian University fosters a culture and deals with matters of research integrity.

Glasgow Caledonian University is a signatory to the Concordat. As such, we seek to comply with, and continually review, the comprehensive standards for research conduct and governance in line with the principles of the Concordat, also drawing on UKRIO's Self-Assessment Tool for the Concordat to Support Research Integrity which covers: policies and systems; dissemination; culture and development; addressing research misconduct; and monitoring and reporting. To this end, this document is aimed primarily at research-active staff and research supervisors at Glasgow Caledonian University, but also at students conducting research, honorary staff, visiting and emeritus staff as well as those on joint clinical contracts and non-staff and non-students who carry out research on Glasgow Caledonian University premises, who participate in research collaborations with our University and or who otherwise conduct research under the auspices of Glasgow Caledonian University. The Statement, therefore, covers consultancy and knowledge transfer activities.

In line with the five commitments of the Concordat and areas of the self-assessment tool, policies and processes are elaborated upon in the remainder of this document.

# Statement from Vice Principal and Pro Vice Chancellor Research

**Glasgow Caledonian University's Strategy 2020, University for the Common Good, aims to deliver research and knowledge exchange of the highest international standards to meet the societal challenges of inclusive societies, healthy lives and sustainable environments. In addressing these challenges, we aim to enrich cities and communities, locally, nationally and globally.**

To meet such aspirations we seek to:

- Promote an holistic approach that is based on multidisciplinary and collaboration with strategic national and international partners in the private, public and voluntary sectors;
- Enhance our research culture, building capacity and capability and supporting early- career researchers to achieve the highest standards of research excellence;
- Strengthen our research-teaching nexus to foster innovation and equip our graduates with the skills to deal with complex global challenges;
- Increase the number of postgraduate research students while continuing to enhance the student experience and promote successful student outcomes; and
- Develop our research infrastructure and expand our use of technologies to collaborate with partners, and users and beneficiaries of our research.

The highest standards of research integrity are central to meeting these aims and, we are, therefore, committed to providing our researchers with the highest standards of support in terms of governance processes and development of the research environments in which they work. The following statement outlines not only what Glasgow Caledonian University is doing but also is committed to in order to meet the aspirations and expectations embodied in the UK Concordat for research Integrity.

**Professor Cam Donaldson**

Vice Principal and Pro Vice Chancellor (Research & Enterprise)

Glasgow Caledonian University

May 2018

# Policies and systems

**The point of contact for matters of research integrity is the Vice Principal and Pro Vice Chancellor Research. In cases where an individual would rather not approach the Pro Vice Chancellor, they contact the University Secretary. Should an individual have concerns about research conducted under the auspices of Glasgow Caledonian University, s/he should follow line management structures in seeking resolution; contacting, in turn, his/her line manager, department head and Associate Dean Research. Failure to achieve resolution should then result in the matter being brought to the attention of the Pro Vice Chancellor or Secretary.**

The University has a webpage devoted to research integrity: <http://www.gcu.ac.uk/research/researchatglasgowcaledonianuniversity/researchintegrity/>

This provides access to the UK Research Integrity Office's Concordat and Code of Practice as well as offering guidance to staff. Importantly, information is provided on who to contact with respect to research integrity issues.

With respect to 'Ethical and other frameworks', procedures in this area are well-developed within each School (including working with NHS systems where relevant) and at the University level. Policies are publicly accessible on the Research Ethics Subcommittee webpage, part of the Governance and Quality Enhancement website: <http://www.gcu.ac.uk/gaq/senateandacademicgovernance/senatestandingcommittees/researchethicssubcommittee/>

Oversight and development of ethical procedures and policy involve lay input via the membership of the Research Ethics Subcommittee (at University level).

Generic policies owned by the University's People Services team are publicly available on the University's website and supported by guidance available through the University's GCU staff intranet. The generic policies are listed at the end of this document and cover standards, principles and definitions as noted in the UKRIO Self-Assessment Tool; covering 'Conduct and Capability', 'Public Interest Disclosure (Whistleblowing)', a 'Code of Good Practice for Research Staff', 'Information Classification and Handling' and 'Data Protection'. Procedures apply to all stages of research and to any staff member conducting research. Additionally, the Code of Student Conduct applies to undergraduate and post graduate students: <http://www.gcu.ac.uk/gaq/appealscomplaintsstudentconduct/>

The extent to which these policies cover the broad areas listed in the UKRIO Self-Assessment Tool (such as publication & authorship and reporting & investigating research misconduct) is under review.

Regular reports are made to the University Research Committee through the provision of confirmed minutes, an annual report and also via issues raised by the Research Ethics Sub-Committee to the University Research Committee, the Academic Policy and Practice Committee and Senate where appropriate. Liaison with People Services takes place with due reference in the University's ethical approval guidance to the policies and procedures that fall within the remit of People Services.

Processes do not currently apply to Knowledge Transfer. They do, however, cross-reference each other to some extent (e.g. the Conduct & Capability policy cross references with the Code of Good Practice for Research - see Appendix 1 examples of Gross Misconduct). Glasgow Caledonian's Code of Good Practice for Research covers requirements of regulatory and statutory bodies (Section 3.4) and adherence to funding bodies' requirements. However, once more, the extent to which policies and systems match the current list of potential external standards is under review.

[https://www.gcu.ac.uk/media/gcalwebv2/theuniversity/supportservices/peopleservices/Conduct\\_and\\_Capability\\_Policy.pdf](https://www.gcu.ac.uk/media/gcalwebv2/theuniversity/supportservices/peopleservices/Conduct_and_Capability_Policy.pdf)

<http://www.gcu.ac.uk/research/researchatglasgowcaledonianuniversity/>

# Dissemination

**With respect to dissemination, specific policies (on trials etc.) do exist. These, and other aspects are well publicised, such as in the Research Ethics Principles and Procedures Handbook (for example, Section 3 of the Handbook covers the Research Governance Framework for Health and Community care i.e. research in an NHS context, including all clinical trials), and are disseminated via researcher development workshops and inductions.**

The Research Ethics Principles and Procedures Handbook is available at:

<https://www.gcu.ac.uk/media/gcalwebv2/theuniversity/gaq/dogfiles/Ethics%20Booklet%202015.pdf>

<https://www.gcu.ac.uk/media/gcalwebv2/theuniversity/gaq/dogfiles/Appendices%202015%20V02.pdf>

Of course, study participants are well informed through well-developed and standard recruitment and consent procedures.

As regards PGRs, the intention is to create a specific module on ethics and other aspects of integrity, although students are required to make a specific statement on the ethical implications of their work as part of their research progress. Following approval of the University's Research Strategy, we will also review School practices in this regard.

Procedures with respect to research misconduct reside with People Services, and the web- address for this policy is provided at the end of this document. Until now, our Code of Good Practice for Researchers has been provided to new (research) staff by People Services; and, now, all research-active staff will be encouraged to familiarise themselves with it via the GCYou Staff Portal.

With respect to the public, there is a Public Interest Disclosure (Whistleblowing) policy on GCU's external website which names the University Secretary as the designated officer for making a disclosure. As mentioned above, the web-address for the Whistleblowing policy is provided at the end of this document as is that for the Code of Good Practice for Researchers.

# Culture and development

**With the recent launch of the 2020 Strategy and accompanying Research Strategy, research integrity will be embedded within the implementation of the latter. Ultimately, this is the responsibility of the University Research Committee and, at the local levels, each of the Schools (who report to the University Research Committee).**

This allows for local adaptation within a common framework, requiring a reporting structure that mirrors the agreed research structures. Aspects currently in place to encourage staff are:

- A university research mentoring scheme.
- Research excellence staff development workshops for which a Research Integrity workshop using exemplar case studies has been developed, initially run during AY2014-15.
- Researcher development workshops for staff (with one planned for PGRs), with links provided through 'Staff development' on the main GCU webpage: <http://www.gcu.ac.uk/research/researchatglasgowcaledonianuniversity/>
- Also, access to GCU's Research Mentoring scheme is provided through the Graduate School webpage: [http://www.gcu.ac.uk/graduateschool/researcherdevelopment/workshops/research\\_staff/](http://www.gcu.ac.uk/graduateschool/researcherdevelopment/workshops/research_staff/)

Staff inductions will now refer to research integrity or research misconduct and how to locate various policies via the GCYou Staff Portal, with existing research-active staff also being informed in this regard.

# Addressing research misconduct

**Where it relates to staff, this resides with People Services, and is covered by:**

- Our Conduct & Capability Policy, which makes reference to research misconduct as an example of gross misconduct. In terms of Public Interest Disclosure (Whistleblowing): section 4.1.2 includes the following qualifying disclosures - 'failure to comply with a regulatory obligation', 'a danger to the health and safety of any individual (includes risks to the general public as well as employees or students of the University)'; section 4.1.3 lists the following protected disclosures - 'academic or professional misconduct', 'improper misconduct' or 'unethical behaviour'.
- The research misconduct procedure in the Code of Good Practice for Researchers covers all staff and students involved in research, whilst the Conduct & Capability Policy only applies to staff (not students).
- Code of Good Practice for Researchers - section 5 - has a contacts list in relation to acting upon allegations of misconduct.
- Public Interest Disclosure (Whistleblowing) does not explicitly refer to disclosures relating to alleged research misconduct - see second bullet point in this section.
- Conduct & Capability Policy applies to current staff, but note that the University may continue the investigation to its natural end regardless of: the Complainant and/or the Respondent resigning or otherwise withdrawing from the process; the Complainant withdrawing his/her allegation; and/or an admission of guilt on the part of the Respondent.
- Conduct & Capability Policy - refers to attempting to deal with matters informally. Capability procedure provides for the opportunity of using other approaches, e.g. training, to support performance back to the required standard (section 7.3).
- Conduct & Capability Policy section 9 details the composition any required Panel.

The intention is to review the above in terms of whether they are up to date and the extent to which they cover (or need to cover) research.

# Monitoring and reporting

**A comprehensive monitoring and reporting structure is being developed in order to allow Glasgow Caledonian University to ensure that the many policies and procedures in place are updated and brought together within this common framework. Currently:**

- As regards ethics, good structures and reporting mechanisms are already in place. Membership of the University and School Committees overlap, which aids cascading of policy changes.
- Each externally-funded project is required to undertake a documented risk assessment and to comply with relevant funder external requirements on ethical approval.
- The University Research Committee will be informed of any formal proceedings and Annual Reports on Research Integrity, emanating from School Research Committees and Research Centres, will be monitored (as a standing order agenda item) by the University Research Ethics Committee.

# Proposed actions for 2018-19

- Publicise the policy and procedures through a series of workshops devoted to key researchers.
- Make any relevant documentation more accessible to the public via more-explicit placement on the University website.
- Review the extent to which all policies and procedures address the broad areas covered by the Self-Assessment Tool, including (with People Services) the extent to which research misconduct policies, the Code of Good Conduct in Research and the Code of Student Conduct are in line with the research integrity criteria.
- Seek feedback from School Research Committees on the overall policy statement and whether it raises specific subject-area issues that require addressing, as well as advising on reporting mechanisms.
- Change name of Research Ethics Subcommittee to include 'Research Integrity'.
- Review PGR Student induction and devise a curriculum strategy to embed research integrity (further) within other researcher development and PGR education activities, such as the MRes.
- Devise a means of capturing data for annual review and implement this in AY 2018- 19.

# Contacts

- **Professor Cam Donaldson**, Vice Principal and Pro Vice Chancellor (Research & Enterprise)
- **Professor Bill Hughes**, Chair of the Research Ethics Subcommittee
- **Dr Lyle Gray**, Chair of the Research Degrees Committee
- **Professor John Lennon (Dean)** Glasgow School for Business and Society
- **Professor John Harris** (Associate Dean Research)
- **Professor Iain Cameron (Dean)** School of Engineering and the Built Environment
- **Professor Ole Pahl** (Associate Dean Research)
- **Mr Vincent McKay (Dean)** School of Health and Life Sciences
- **Professor Jim Woodburn** (Associate Dean Research)
- **Professor Antony Morgan (Dean)** GCU London
- **Dr Dane Lukic** (Research Lead for GCU London)

# Supporting documents

- **Conduct & Capability Policy**  
[https://www.gcu.ac.uk/media/gcalwebv2/theuniversity/supportservices/peopleservi%20%20ces/Conduct\\_and\\_Capability\\_Policy.pdf](https://www.gcu.ac.uk/media/gcalwebv2/theuniversity/supportservices/peopleservi%20%20ces/Conduct_and_Capability_Policy.pdf)
- **Public Interest Disclosure (Whistleblowing) policy**  
[https://www.gcu.ac.uk/media/gcalwebv2/theuniversity/supportservices/peopleservi%20%20ces/Conduct\\_and\\_Capability\\_Policy.pdf](https://www.gcu.ac.uk/media/gcalwebv2/theuniversity/supportservices/peopleservi%20%20ces/Conduct_and_Capability_Policy.pdf)
- **Code of Good Practice for Researchers** – to be provided to all staff and research students  
<https://www.gcu.ac.uk/media/gcalwebv2/theuniversity/supportservices/peopleservices/Code%20of%20Good%20Practice%20for%20GCU%20Researchers%20Final.pdf>
- **Information Classification and Handling Policy**  
<https://www.gcu.ac.uk/media/gcalwebv2/itstaff/InfoClassPolicyV10.pdf>
- **Data Protection Guidelines**  
<https://www.gcu.ac.uk/dataprotection/>
- **Research Data Management Policy**  
<https://www.connected.gcu.ac.uk/sites/InformationMatters/DataProtectionPrivacy/Documents/Research%20Data%20Management%20%20Doc%20REC17-10-02%20publishable.pdf>



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