

Leeds Arts University: Annual statement on research integrity

Section 1:

Key contact information

| Question | Response |
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| 1A. Name of organisation | Leeds Arts University |
| 1B. Type of organisation: | Higher Education Institution |
| 1C. Date statement approved: | 22 nd of November 2023 by the Board of Governors |
| 1D. Web address of organisation's research integrity page | https://www.leeds-art.ac.uk/research |
| 1E. Named senior member of staff to oversee research integrity | Professor Samantha Broadhead (Head of Research) Email address: sam.broadhead@leeds-art.ac.uk |
| 1F. Named member of staff who will act as a first point of contact for anyone wanting more information on matters of research integrity | Henry Gonnet (Research Co-ordinator) Email address: henry.gonnet@leeds-art.ac.uk |

Section 2:

Promoting high standards of research integrity and positive research culture.

Description of actions and activities undertaken

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| <p>2A. Description of current systems and culture</p> <p>Please describe how the organisation maintains high standards of research integrity and promotes positive research culture. It should include information on the support provided to researchers to understand standards, values and behaviours, such as training, support and guidance for researchers at different career stages/ disciplines. You may find it helpful to consider the following broad headings:</p> <ul style="list-style-type: none"> • Policies and systems • Communications and engagement • Culture, development and leadership • Monitoring and reporting |
| <p>The University is values based as described in the Strategic Plan 2023-2030 and is careful to ensure that research carried out considers ethical implications and has a high degree of integrity.</p> <p>Policies and systems that support and promote research integrity and consideration of ethics are:</p> <ul style="list-style-type: none"> • Ethics Policy • Whistleblowing Policy • Counter-Fraud And Irregularities Policy • Disciplinary Procedure • Code of Conduct (professional behaviour and relationships) • Equality, Diversity and Inclusion Policy • Anti-Bullying and Harassment Policy • Process for Declarations of Interest • Code of Practice on Freedom of Speech and Expression • Data Protection Policy • Records Management Policy |

- Record of Processing Activities
- Anti-Bribery and Corruption Policy

These policies and procedures are reviewed on a regular basis by the University's deliberative structure according to the policy review schedule, normally every three years or earlier if there are legislative or other changes.

The Research and Ethics Committee has delegated responsibility for considering ethical matters and over-seeing research integrity. Any allegation of research misconduct is investigated in accordance with the current version of the University's disciplinary, fraud and whistle blowing policies and procedures where deliberate breaches of research integrity are identified. In some cases, this may be dealt with as a performance capability issue where an initial investigation identifies the breach was not deliberate.

Communications and engagement

Research forms part of the induction process for all new HE academic staff and in addition the Head of Research and Research Fellow mentor new and established researchers in research ethics and research integrity.

In-person researcher development sessions are delivered annually on Research Integrity, these are recorded and made available for researchers at any time. Training and one-to-one support is also given in open research and reproducibility and resources are available on the Research section of the University's virtual learning platform. There is a programme of sharing research through planned sessions through the year to promote a collaborative and inclusive culture.

Culture, development and leadership

The University's Strategic Plan 2023-2030 sets the direction for its research activity and outlines the main themes and values of the University. Our policies and procedures are written with these values in mind.

All higher education staff may apply to join a research Pathway annually and are required to submit a 3 year research plan, on which they are given feedback by the Head of Research. All research staff are required to follow the Ethics Policy which is guided by the principles:

- Maximise benefits and minimise harm (e.g. in relation to living subjects, institutions, communities, the environment).
- Respect for the person, living or deceased (e.g. in relation to researchers, colleagues, managers, students, participants, general public).
- Academic and research integrity (e.g. in relation to acknowledging the work of others and being honest when reporting research findings).

All staff receive an annual appraisal and any development needs are identified through this, with records of development undertaken kept centrally. In addition, the University has mandatory centralised development which includes equality diversity & inclusion, risk and safety and data protection, including a data protection induction for all new starters and mandatory training for all staff conducted on a rolling 2-year basis. Participation in this development is managed centrally and records kept.

The Head of Research engages with the UK Research Integrity Office (UKRIO) as part of their Advisory Community and receives their newsletter and webinar series. UKRIO events are shared with members of the research team and with established and early career researchers. The University is a member of GuildHE Research and the Head of Research attends regular meetings with peers and disseminates information to researchers. The Research Coordinator engages with the Association of Research Managers and Administrators, the UK's Open Research Special Interest Group to discuss and promote open research and reproducibility.

Monitoring and reporting

All research active staff review their progress annually, feedback is given and a summary of this is received by the Research and Ethics Committee.

Progress on Research Integrity is reported in the Annual Research Integrity Statement to the Research and Ethics Committee. This is reviewed by the Committee and then recommended to the Academic Board which in turn recommends it for approval to the Board of Governors. This is published on the University website on an annual basis.

Ethics and Research Integrity activities are reported in the Annual Research Report to the Research and Ethics Committee and Academic Board. As part of the University's new strategic plan, the Board of Governors also receive an annual Research Report.

2B. Changes and developments during the period under review

Please provide an update on any changes made during the period, such as new initiatives, training, developments, also ongoing changes that are still underway. Drawing on Commitment 3 of the Concordat, please note any new or revised policies, practices and procedures to support researchers; training on research ethics and research integrity; training and mentoring opportunities to support the development of researchers' skills throughout their careers.

A summary of changes made during the period:

The Ethics Policy has been updated to include the five facets of Research Integrity noted in the UK Concordat, which are addressed along with the University's approach to Research Malpractice. These tenets will be reinforced through a re-designed ethics form as part of a clearer ethics procedure. In particular the ethics form signposts researchers to the five tenets of Research Integrity and asks for their reflections on how their projects respond to them.

A new approach to identifying those who are supported for research was introduced, Research Pathways. This was designed in recognition of the different career stages of researchers. Pathway 1 researchers are active and have established research profiles. Pathway 2 are early career researchers who may not yet have a PhD but aspire to undertake research. Both are supported for research with resources and peer-support activities. Opportunities to apply for a research Pathway are annually promoted through a call to academic staff in higher education.

All Pathways' research proposals and ethics' statements (those proposed by members of staff) are reviewed by a Panel Chaired by the Head of Research and a second Panel Chaired by the Vice-Chancellor.

2C. Reflections on progress and plans for future developments

This should include a reflection on the previous year's activity including a review of progress and impact of initiatives if known relating to activities referenced in the previous year's statement. Note any issues that have hindered progress, e.g. resourcing or other issues.

Reflections:

Progress has been made in integrating research integrity values into the Ethics Policy and procedures. Training has been developed and delivered that focuses on research integrity in particular.

The feedback from researchers has been that The Concordat to Support Research Integrity and UKRIO Code of Practice for Research is perceived as stem based which can be a barrier. The Head of Research has attended various webinars hosted by UKRIO and most if not all examples given lie in the science paradigm and the forms of reproducibility of research discussed and do not always fit the ways arts and humanities researchers disseminate their work. This hinders progress in encouraging arts practice-based researchers to see how their work can align to some of the values, in particular, reproducibility.

There have been no allegations of research misconduct this year and we aim for this to be maintained.

Plans on future progress

Next year we aim to create Research Integrity training which is more orientated towards arts research. To do this a mapping exercise will be undertaken with research Pathways staff, there is scope for this to be a participatory exercise including established and early career arts researchers. The aim would be to align practices in arts research with the five tenets of research.

The Leeds Arts University rolling research seminar programme which has been further developed (Research Dialogues) addresses ethical issues as part of some speakers' talks. This will be evaluated to see how research integrity can be further referenced in this series of talks.

The implementation of the new ethics form is planned for academic year 2023-2024. It is planned that going forward research projects undertaken by research 'Pathways' staff and those who conduct research but are not on a research Pathway will be required to submit the developed ethics form. These will be reviewed by two members of the Research Team who can approve or recommend further review at the Research and Ethics Committee and will give feedback to the members of staff for development.

This will be monitored to see if the responses regarding Research Integrity are appropriate.

2D. Case study on good practice (optional)

Please describe an anonymised brief, exemplar case study that can be shared as good practice with other organisations. A wide range of case studies are valuable, including small, local implementations. Case studies may also include the impact of implementations or lessons learned.

Section 3:**Addressing research misconduct****3A. Statement on processes that the organisation has in place for dealing with allegations of misconduct**

Please provide:

- a brief summary of relevant organisation policies/ processes (e.g. research misconduct procedure, whistle-blowing policy, bullying/harassment policy; appointment of a third party to act as confidential liaison for persons wishing to raise concerns) and brief information on the periodic review of research misconduct processes (e.g. date of last review; any major changes during the period under review; date when processes will next be reviewed).
- information on how the organisation creates and embeds a research environment in which all staff, researchers and students feel comfortable to report instances of misconduct (e.g. code of practice for research, whistle-blowing, research misconduct procedure, informal liaison process, website

signposting for reporting systems, training, mentoring, reflection and evaluation of policies, practices and procedures).

- anonymised key lessons learned from any investigations into allegations of misconduct which either identified opportunities for improvements in the organisation's investigation procedure and/or related policies / processes/culture or which showed that they were working well.

The University has the following policies/processes where forms of misconduct are dealt with:

- Anti - Bullying and Harassment
- Code of Conduct
- Disciplinary Procedure
- Probationary Policy
- Performance Capability Procedure
- Grievance Procedure

All staff have a thorough induction where they are signposted to these policies.

Members of staff may raise allegations with the Head of Research who will consult with the Head of HR as to the best route for investigation. Allegations of research misconduct made externally or internally can also be raised through the Whistleblowing Policy and the Counter Fraud and Irregularities Policy states that the Vice-Chancellor should be contacted at the earliest opportunity in cases of Fraud with academic implications.

Allegations of misconduct would also be considered alongside other relevant University policies including the Ethics Policy.

The Leeds Arts University website has institutional contact details for general enquiries and provides the name of a key contact for the conduct of research.

In 2022-2023 there have been no allegations of misconduct.

3B. Information on investigations of research misconduct that have been undertaken

Please complete the table on the number of **formal investigations completed during the period under review** (including investigations which completed during this period but started in a previous academic year). Information from ongoing investigations should not be submitted.

An organisation's procedure may include an initial, preliminary, or screening stage to determine whether a formal investigation needs to be completed. These allegations should be included in the first column but only those that proceeded past this stage, to formal investigations, should be included in the second column.

| Type of allegation | Number of allegations | | | |
|--|--|---------------------------------|--|--|
| | Number of allegations reported to the organisation | Number of formal investigations | Number upheld in part after formal investigation | Number upheld in full after formal investigation |
| Fabrication | 0 | 0 | 0 | 0 |
| Falsification | 0 | 0 | 0 | 0 |
| Plagiarism | 0 | 0 | 0 | 0 |
| Failure to meet legal, ethical and professional obligations | 0 | 0 | 0 | 0 |
| Misrepresentation (eg data; involvement; interests; qualification; and/or publication history) | 0 | 0 | 0 | 0 |
| Improper dealing with allegations of misconduct | 0 | 0 | 0 | 0 |

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|--|---|---|---|---|
| Multiple areas of concern (when received in a single allegation) | 0 | 0 | 0 | 0 |
| <i>Other*</i> | 0 | 0 | 0 | 0 |
| Total: | 0 | 0 | 0 | 0 |

***If you listed any allegations under the 'Other' category, please give a brief, high-level summary of their type here. Do not give any identifying or confidential information when responding.**

N/A