



UKRIO annual conference 2015

#ukrio2015

Implementing the Concordat: Annual statements

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Employers of researchers should present *“a short annual statement to their own governing body that ... provides a **high-level statement on any formal investigations of research misconduct** that have been undertaken”*

*“this statement should be **made publicly available**”*



The Concordat to
Support Research
Integrity, June 2012

- Annual Accountability Return

Part 1	
Can you confirm that in this period the institution has met its responsibilities to HEFCE (the conditions of grant) as set out in the Financial Memorandum?	
Please indicate whether the institution has been able to comply with the research integrity Concordat (or if not, whether it has been working towards compliance)	

For 2013-14 only, in recognition that some institutions may require a period of time to achieve compliance, institutions receiving research grants from HEFCE may provide assurance either of their compliance, or that they are working towards compliance, with the Concordat.



UKRIO Survey

- How many universities have published an annual statement 2013/14?
- What do they include?

Concerns:

- Lack of standard definitions for misconduct
- Different thresholds for formal investigation
- FoI requests
- Use of information for 'league tables'

- e-mail survey to UKRIO Subscribers (n=44)
(March 2015)
- Analysis of random sample of UUK listed
university websites
(n=44/134) (April 2015)
- Search terms: “research misconduct”, “research integrity”, “concordat”



UKRIO Subscribers

- 27/44 responded
- Of these:

Annual statement 2013/14?	Number (%)
Not available	18 (67%)
Available	9 (33%)
with cases	7
no detail of cases*	2

*One statement required a log-in and so could not be analysed



Other UK universities

- Random sample of 44

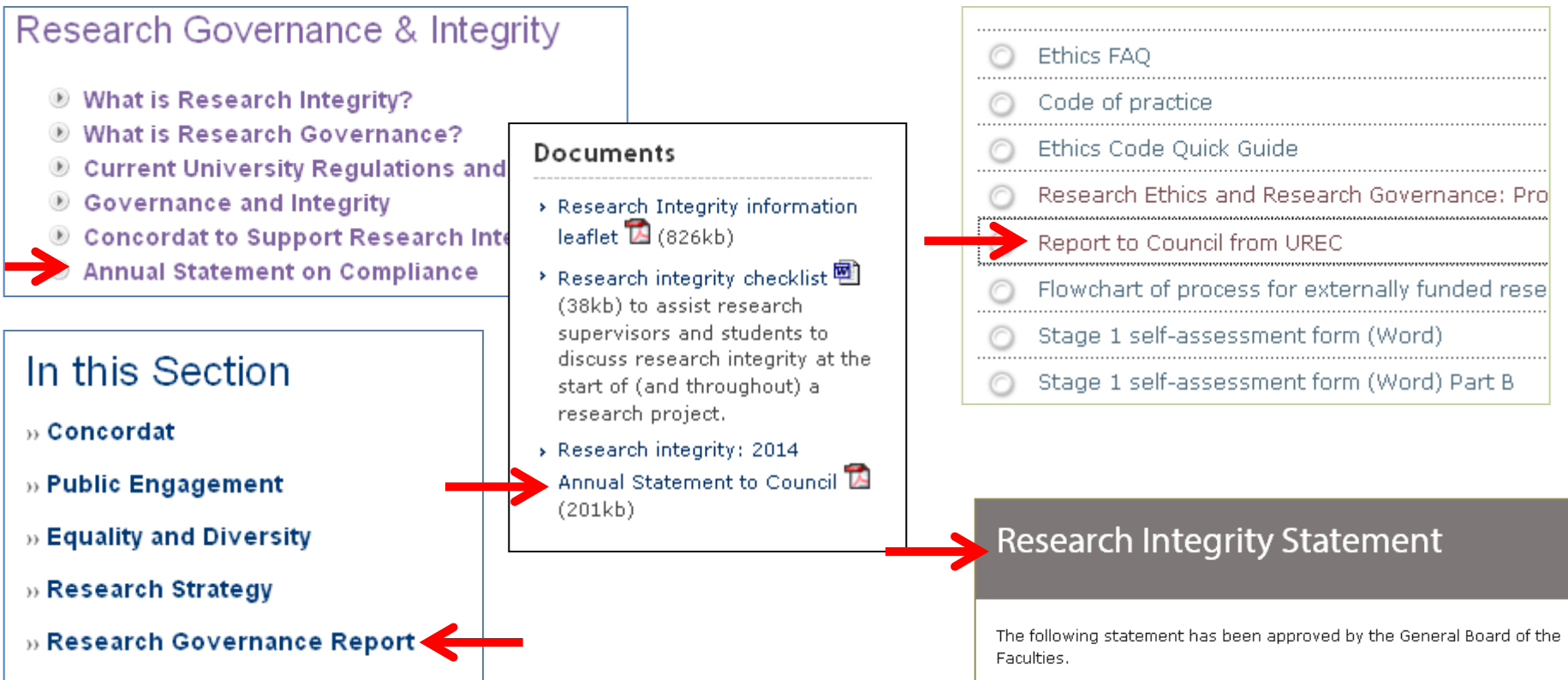
Annual statement 2013/14?	Number (%)
Not available*	41 (93%)
Available	3 (7%)

* not found on university website, using search terms *research misconduct*, *research integrity*, *concordat*, or via Research webpages



Annual statements (n=11)

- Ranged from 1-13 (median = 7) pages
- Variety of names (making searching difficult)





Investigations 2013/14

Of 12 universities publishing information:

- 2 did not report number of cases
- 4 reported no formal investigations

Univ	Total	Staff	Student	Unspecified	Upheld	On-going
A	2	0	2		?	
B	1			1	0	
C	6			6	1	2
D	3			3	2	
E	6			6	0	
F	3	0	3		1	1

No. of cases =0-6 (median = 1.5)



Types of misconduct

Category	No. of investigations
Plagiarism	5
Falsification	2
Authorship	2
Fabrication	1
Confidentiality breach	1

- “Snapshot” rather than scientific survey
- MANY universities have not published an annual statement for 2013/14
- Statements vary in length and detail
- No consistent name for statement
(may affect discoverability / searching)
- Statements are often hard to find
(if you can't find something is it published?)



Next steps

(slide added 22 May 15)

- UKRIO will continue to support subscribers to help them implement the Concordat (e.g. via the Self-Assessment Tool)
- Full results of this survey (including additional responses from UKRIO subscribers received after the conference) will be published