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the 2020-21 academic year:

- x Updates to the Procedure for the Investigation of Allegations of Misconduct in Research
- x Significant changes and enhancements to the operation of the Animal Welfare and Ethical Review Body (AWERB)
- x Updates to the terms of reference to ethics committees and supporting roles to align with recent standards on ethics review in universities
- x The launch of a collaborative Sponsorship Review Panel (PSRP) bringing together universities and NHS trusts to strengthen research governance for health research
- x The development of specialist guidance on mass data social media studies and the proposal to establish a Compliance Panel for legal and compliance issues
- x The development of guidance for researchers wishing to access closed data sets under the Digital Economy Act 2017
- x The delivery of a varied programme of research training and briefings for researchers and ethics committee members
- x The setting up of a Declaration on Research Assessment (DORA) Project Group and accompanying initiatives

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## Commitment 1: Maintaining the highest standards of rigour and integrity in all aspects of research

The University has established and continues to articulate its key standards for research integrity in three main documents:

- The [Code of Practice for Research](#)
- The [Research Governance Standard Operating Procedure](#)
- The [Procedure for the Investigation of Allegations of Misconduct in Research](#)

| Initiatives and actions in the 2021 academic year                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |  |
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| <p>The University undertook a mapping exercise of current <b>terms of reference for its ethics committees</b> and subsequently, the Research Ethics and Integrity Committee has approved updated terms of reference that stress the important principle of independence in ethics review and recognises the wider research integrity agenda as it relates to institutional research culture.</p> <p>The <b>Procedure for the Investigation of Allegations of Misconduct</b> Research was revised and updated following formal approval.</p> <p>The alignment of <b>definitions of academic and research integrity</b> expressed in the student regulations for taught programmes will be a priority for updates to the <b>Code of Practice for Research</b> in the 2021-22 academic year.</p> <p>The University established its <b>Declaration on Research Assessment (DORA) project</b> to reaffirm its commitment to the principles and to put in place processes to ensure DORA principles are embedded in all areas of university activity.</p> <p>Stakeholder engagement included an exercise to get feedback from all Schools as well as regular updates at RaKE committee meetings for DRKEs to cascade to their Schools.</p> <p><b>7KH 8QLYHUVLW\ V FRPPLWPHQW LV RXWOLQH G LQ WKLV QHZ ZHE strategy/declaration on research assessment</b></p> <p>The DORA project group has a number of workstreams. One of these is Human Resources led and includes a comprehensive audit, review, and (where relevant) revision of all relevant research assessment systems, policies, and practices throughout the academic career journey, including: annual review and examination of doctoral researchers; recruitment and induction of new researchers; appraisal and mentoring processes; and formal procedures regarding probation, pay review, and promotion.</p> <p><b>\$QRWKHU ZRUNV WUHDPLV WKH H[SDQG HG XVH RI WKH 8QLYHUVLW\</b> ate capability building and training for researchers, as well as a clear interface with systems and processes for research assessment and planning.</p> <p>The University Library has created a new <b>Publication Metrics guide</b> for researchers which includes information about DORA and responsible metrics. Training is also provided, delivered via the Doctoral Training Programme and also offered to Academic Staff.</p> |  |

## Commitment 2 Ensuring that research is conducted according to appropriate ethical, legal and professional frameworks, obligations and standards

| Initiatives and actions in the 2020/21 academic year                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
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| <p>The <b>Animal Welfare and Ethical Review</b> commitments to the three Rs (Refinement, Reduction and Replacement) and Concordat on Openness on Animal Research &amp; 2015 \$ 1 &amp; XOWXUH RI &amp; DUH· ZRUNLQJ JURXS KDV EHHQ</p> <p>ples into approaches to research design. To increase objectivity and impartiality in AWERB business, the University appointed a new Chair of the AWERB who is not the institutional licence holder. The new Chair has previously received funding from NC3Rs to refine models of neuropathic pain in rodents. Further enhancements were made to how research that does not fall under the Animal (Scientific Procedures) Act is reviewed to ensure that it meets suitable ethical standards. A COAR action plan was also reviewed and approved.</p> | <p>RG\ \$:(5% KDV LQVWLJDWHG ZRUN WR HQ</p> <p>Concordat on Openness on Animal Research &amp; 2015 \$ 1 &amp; XOWXUH RI &amp; DUH· ZRUNLQJ JURXS KDV EHHQ</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| <p>The <b>Research Governance Standard Operating Procedures</b> were reviewed in depth with significant restructuring of how it fits with the wider set of documents (SOPs in specialist areas of research, policies, guidance notes etc.) that underpin institutional Research Integrity and the committees through which the University sets standards for research.</p>                                                                                                                                                                                                                                                                                                                                                                                                                    | <p>was reviewed in depth with significant restructuring of how it fits with the wider set of documents (SOPs in specialist areas of research, policies, guidance notes etc.) that underpin institutional Research Integrity and the committees through which the University sets standards for research.</p>                                                                                                                                                                                                                                                                                                                               |
| <p><a href="#">Sponsorship Review Panel (SRP)</a> was launched to bring together representatives of the partner NHS trusts <sup>2</sup> University Hospitals Sussex, Sussex Partnership Trust and universities Sussex and Brighton to review research seeking institutional Sponsorship prior to HRA and NHS REC ethics review. The panel, which meets monthly, recommends sponsorship to organisations and is comprised of researchers, professional services and Public and Patient Involvement (PPI) representatives. In bringing the partners together in this way, the panel shares good practice and supports more robust applications for regulatory review.</p>                                                                                                                       | <p>Pre-QLYHUV</p> <p>was launched to bring together representatives of the partner NHS trusts <sup>2</sup> University Hospitals Sussex, Sussex Partnership Trust and universities Sussex and Brighton to review research seeking institutional Sponsorship prior to HRA and NHS REC ethics review. The panel, which meets monthly, recommends sponsorship to organisations and is comprised of researchers, professional services and Public and Patient Involvement (PPI) representatives. In bringing the partners together in this way, the panel shares good practice and supports more robust applications for regulatory review.</p> |
| <p>Work has continued in partnership with the Brighton and Sussex Clinical Trials Unit on the implementation and embedding of the <b>CTIMP Management Framework</b> ensure that the University meets the expectations of oversight for clinical trials.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | <p>ensure that the University meets the expectations of oversight for clinical trials.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <p>Significant work was undertaken to produce guidance on <b>mass data social media studies</b> and a proposal developed to establish a Compliance Panel to review any legal and compliance issues relating to higher risk mass data research projects as referred by the Research Ethics, Integrity and Governance Team or by a CrossSchool Research Ethics Committee.</p>                                                                                                                                                                                                                                                                                                                                                                                                                   | <p>and a proposal developed to establish a Compliance Panel to review any legal and compliance issues relating to higher risk mass data research projects as referred by the Research Ethics, Integrity and Governance Team or by a CrossSchool Research Ethics Committee.</p>                                                                                                                                                                                                                                                                                                                                                             |
| <p>Guidance documentation was developed for researchers wishing to access closed data sets under <b>Digital Economy Act 2017</b> in collaboration with the Research Data Management Team.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | <p>Digital Economy Act 2017</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| <p>The Research Ethics, Integrity and Governance team delivered <b>specific training to members of ethics committee and School Research Ethics Officers</b></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | <p>specific training to members of ethics committee and School Research Ethics Officers</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| <ul style="list-style-type: none"> <li>· 1(WKLFV 5HYLHZHUV :RUNVKRS 5HVHDFKLQJ LQ WKH 2020/21</li> <li>· 15HVHDFKHU ZHOOEHLQJ ZKHQ ZRUNLQJ ZLWK GLIILFXOW PDORFDWLRQV DQG WKH UROH RI UHVHDFK VXSHUYLVRUV.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | <p>2020/21</p> <p>2020/21</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |

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**Commitment 3 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**

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The following table shows instances of allegations of research misconduct in 2020:

Number of formal investiga-