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**ANNUAL COMPLIANCE STATEMENT ON  
RESEARCH AND ENTERPRISE INTEGRITY**

**2019/20**

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## COMPLIANCE REQUIREMENT

It is a condition of grant for all higher education providers eligible to receive research funding administered through Research England to have in place procedures for governing good research practice, and for investigating and reporting unacceptable research conduct, that meet the requirements set out in the Concordat to Support Research Integrity. Confirmation of compliance with the Concordat is also required through the annual assurance return to the Office for Students. As the Research England grant includes funding for innovation, knowledge exchange and enterprise, compliance with the Concordat has been extended to these activities.

Compliance includes adhering to the Concordat's recommendations for internal processes and guidance to ensure research and enterprise activity is conducted according to the highest standards of rigour and integrity. It also includes the production of an Annual Compliance Statement on Research and Enterprise Integrity setting out these processes, and other actions that have been undertaken to support and strengthen the integrity and rigour of research and enterprise at the University, including processes and any investigations undertaken in relation to research misconduct.

## SCOPE

The scope of this Compliance Statement comprises strategy, policy, processes, guidance and activities for integrity, quality assurance, and quality improvement and enhancement relating to the conduct of research, knowledge exchange, enterprise, innovation, and external stakeholder engagement activity, including issues of compliance with internally and externally mandated and expected standards.

This Compliance Statement relates to the 12-month period from **1<sup>st</sup> August 2019 to 31<sup>st</sup> July 2020**.

## APPROVALS

Recommended for approval to the Governing Body by Research and Enterprise Integrity Committee on **11<sup>th</sup> November 2020**.

Approved by the Governing Body on **24<sup>th</sup> November 2020**

Received by Academic Board on **14<sup>th</sup> December 2020**

# 1. STRATEGY

The Academic Board endorsed the *Strategic Plan for Research and Enterprise: Foundations, Features, Futures*, to run from 2018 to 2023, on 18<sup>th</sup> June 2018 (available at: [www.canterbury.ac.uk/SPRE](http://www.canterbury.ac.uk/SPRE)).

The Strategic Plan sets out the foundations for our research and enterprise, the features that will characterise our research and enterprise, and the futures we anticipate. It is underpinned by our mission, values and University's Strategic Framework, and it provides a framework within which assurance of integrity and rigour can be provided.

## Foundations

The foundations set out a wide-ranging role and contribution for research and enterprise across the Institution and affirms its values-led duty and desire to contribute, commits to providing a distinctive student experience, and reiterates the belief that research and enterprise is a core part of our University identity.

## Features

Seven core features – connected, dynamic, collaborative, inspiring, valued, creative, sustainable – emphasise our values- and define learning as a partnership between staff and students, and highlight the contribution of Research and Enterprise for the University identity.

## Futures

Our future research and enterprise success highlights increasing capacity, quality, income and impact as the framework for our quality improvement and enhancement processes (2.2. below); with enhanced community engagement as the cross cutting and embedding criteria within the framework.

## 2. POLICIES, PROCESSES AND GUIDANCE

### 2.1 Research and Enterprise Integrity Framework

The University's Research and Enterprise Integrity Framework is the way in which the University meets Research England's compliance requirement to ensure research and enterprise is conducted according to the **highest standards of integrity**, and is the basis for providing assurance in this area to the Office for Students in our annual assurance return.

The Research and Enterprise Integrity Framework is the overarching framework within which all policies, procedures and guidance in relation to research and enterprise sit. It replaced the former Research Governance Framework, and integrates Knowledge Exchange and Enterprise.

The Research & Enterprise Integrity Framework was published in January 2020 following approval by Research and Enterprise Integrity Committee and Academic board.

A revised Concordat to Support Research Integrity was published on the 25th October 2019. This updated version includes recommendations that identified an absence of publicly available information on research integrity, including named points of contact and annual statements published by research organisations. The Framework includes the following:

- The [Research Integrity and Contracts Manager](#) acts as the first point of contact for anyone wanting more information on matters of research integrity.
- The University Solicitor's Office is the main point of contact and will act as confidential liaison for whistleblowers or any other person wishing to raise concerns about the integrity of research being conducted under the auspices of the University. Full details can be found within the [Whistleblowing Policy for Staff](#) and [Student Guidance on the University's Whistleblowing Procedure](#).

Following a detailed review in 2018/19, a work plan prioritising necessary changes to supporting policies, procedures and guidance, and the development of further policies where necessary, has been developed and agreed by Research and Enterprise Integrity Committee. Work on implementing this work plan continued throughout 2019/20.

#### 2.1.1. Research Ethics Policy

An updated [Research Ethics Policy](#) has been developed, approved and published. This policy applies to all research involving human participants, sentient animals or data not in the public domain undertaken by **all** staff, students or anyone acting on behalf of the University as part of formal research activity. The policy standardises research ethics review practice across the University. The policy is divided into three parts:

- **A: General**
  - Applicable to all, it includes a set of core principles, information on the right to appeal an outcome, reporting adverse events and provides details on failure to comply.
- **B: Staff and postgraduate research students**
  - Applicable to staff and postgraduate research students, it includes information on external ethics review, international research, and governance.

- All staff and postgraduate research students should submit and manage their ethics and governance review through [Research Space](#).
- **C: Students on taught programmes (Postgraduate and Undergraduate)**
  - Applicable to students on taught programmes, it includes a change to how the ethics process for students on taught programmes is managed. In summary, all ethics reviews for students on taught programmes should be carried out at programme level with the governance of ethics at this level to be included in the annual programme monitoring process.
  - Students on taught programmes should apply using the [Ethics & Governance Review Application Form for Students on Taught Programmes](#).

### 2.1.2 Consultancy Policy

The previous university consultancy policy was developed in 2014, and comprised a complex set of arrangements that required individual bespoke negotiation on revenue sharing, pricing and project setup for every potential consultancy opportunity. A review and simplification of the consultancy policy was included as a priority in the 2019/20 Business Plan for the Research & Enterprise Directorate.

Review and consultation during 2019/20 has helped to identify the key issues for a long term Consultancy Policy. These relate to how individual consultancy is accommodated within Academic Workload Profiling (AWLP) the split of income (the Day Rate) between the staff member and the University, and the mechanism by which staff are rewarded.

Acknowledging the pressures on staff time arising as a result of COVID-19, an Interim Consultancy Policy for 2020/21 has been developed, along with some parameters relating to how this might transition into a permanent consultancy policy from 2021/22.

### 2.1.3 Data Protection in Research

The General Data Protection Regulation (GDPR) and Data Protection Act 2018 came into force on 25 May 2018. Together, they govern the processing (acquiring, holding, using, etc.) of personal data in the UK. This includes use of personal data for research purposes. GDPR provided a harmonised European regulatory environment, creating new requirements for data protection for European institutions and organisations.

A working group composed of Data Protection and research staff was established in 2019/20 to review and create policies and guidance to ensure data protection obligations are embedded in University research processes.

By implementing relevant procedures to protect personal data for any research project, the University will ensure:

- Compliance with relevant Data Protection Legislation
- Compliance with Human Rights and ethical aspects of research
- Adherence to the University's mission to integrate excellent teaching, research and knowledge exchange
- Meeting the requirements of funding bodies regarding the security and protection of personal data

The working group is developing a data protection governance framework and guidance for researchers that will be published in 2020/21.

## 2.2. Research and Enterprise Quality Improvement and Enhancement (REQIE)

Research and Enterprise Quality Improvement and Enhancement (REQIE) is the process by which the University meets Research England's compliance requirement to ensure research and enterprise is conducted according to the **highest standards of rigour**, and is the basis for providing assurance in this area to the Office for Students in our annual assurance return. Research and Enterprise Quality Improvement and Enhancement (REQIE) integrates a range of previously disparate monitoring and reporting processes within a context driven by quality improvement and enhancement.

REQIE focusses on four areas of quality improvement and enhancement as set out in the futures section of the Strategic Plan: Capacity (staff; research students), Quality (staff; students), Income and Impact. Faculties produce a Faculty Research & Enterprise Portfolio Plan (FREPP) in which Part A sets out substantive strengths and priority areas within the context of a vision for the next five years, and Part B sets out plans for the operationalisation of that vision in the coming year. FREPPS are considered and scrutinised via REQIE, and at the conclusion of the process are received by Research & Enterprise Integrity Committee and endorsed by Academic Strategy Committee.

Many of the activities set out in section 3 either arise from, or are intended to support, the quality improvement and enhancement priorities identified through REQIE.

## 2.3. Governance

The policies and processes by which the University meets Research England's compliance requirement to ensure research and enterprise is conducted according to the highest standards of integrity and rigour, and that are the basis for providing assurance in this area to the Office for Students in our annual assurance return, are overseen by the following governance structure.

The Academic Board, chaired by the Vice-Chancellor and answering to the Governing Body, oversees the academic governance of the University. Deriving its authority from the Academic Board, the Research and Enterprise Integrity Committee has strategic oversight of integrity, quality assurance, and quality improvement and enhancement relating to the conduct of research, knowledge exchange, enterprise, innovation, and external stakeholder engagement activity, including issues of compliance with internally and externally mandated and expected standards.

Of its responsibilities, the Research and Enterprise Integrity Committee delegates:

- to the Enterprise and Engagement Board, authority for the operational oversight of the University's enterprise, innovation, and business, community and public sector engagement activities, including monitoring quality improvement initiatives to increase the scale, volume, value, influence and impact of activities.
- to the Research Quality Enhancement and Excellence Group, authority for the operational oversight of policies and procedures to improve and enhance the quality of research outputs, impact, funding applications and the research environment. The RQEEG will also operationalise and monitor quality improvement initiatives and targets

for research and knowledge exchange, including those supporting Research Excellence Framework outcomes.

- to Faculty Research and Enterprise Committees, authority for the operational oversight within faculties of integrity, quality assurance, and quality improvement and enhancement relating to the conduct of research, knowledge exchange, enterprise, innovation, and external stakeholder engagement activity, including issues of compliance with internally and externally mandated and expected standards.
- to the University Ethics Panel, review, development and implementation (when appropriate) of ethics and governance related policies, processes and guidance relating to research, knowledge exchange, enterprise, innovation, and external stakeholder engagement activity across the University for staff and Postgraduate Research students.
- to Faculty Ethics Panels, implementation of policy and procedures for ethical scrutiny of proposals initiatives or projects relating to research, knowledge exchange, enterprise, innovation, and external stakeholder engagement activity within faculties for staff and Postgraduate Research students.



## 3. ACTIVITIES

### 3.1 Research Excellence Framework (REF) 2021

The University's two strategic objectives for our submission to REF 2021 are to 1) achieve a rating of 'World-leading' (4\*) research in each of the 12 Unit of Assessments (UoAs) we are submitting to and 2) maximise outcomes at an institutional level.

These objectives have, and will continue to, guide decisions about the configuration of our submission, processes for our submission, the development of our Code of Practice (CoP), and the submission itself.

The university's CoP, which outlines how the institution will identify staff with significant responsibility for research, determine who is an independent researcher and select outputs (including how to support staff with circumstances that may have affected their research productivity) was 'considered to meet the published requirements set out in the REF 2021 CoP guidance' by Research England on 8 November 2019.

In early 2019/20, the university undertook the process set out in the CoP to identify staff with significant responsibility. This early identification enabled the university to shift its focus to the main elements that make up our submission: selecting and auditing outputs, developing impact case studies, writing environment statements and mapping environment data. Good progress has been made in each of these areas in 19/20.

The REF submission deadline was 30 November 2020. However, the funding bodies paused the exercise in March 2020, in light of the Covid-19 pandemic. This was to support institutions in prioritising immediate work relating to Covid-19 and to acknowledge the effects on institutional activity. Following a light-touch consultation, the funding bodies resumed the exercise on 31 July 2020 and announced a revised deadline of midday on 31 March 2020. The focus has been on using the extra time to refine and enhance the submission.

### 3.2. Research & Enterprise Income

The Research and Innovation Funding Unit (RIFU) continues to work with Faculties towards a pro-active bid strategy linked to the Faculty Research and Enterprise Portfolio Plan (FREPP) developed as part of REQIE. The aim is to enhance effective resource allocation and planning in research bidding activity, and to increase effectiveness and efficiency of the process.

COVID-19 impacted income for Research Grants & Contracts and KE & Consultancy in 2018/19. While the former held up well, the latter was hard hit by both contract cancellations and an absence of opportunities in the second half of the academic year.

However, the pipeline of bidding activity is strong, and income from Research Grants and Contracts already secured for 2020/21 already exceeds previous peak performance. Aspects of Knowledge Exchange and Consultancy are still affected by ongoing COVID-19 restrictions, and re-covering this area will be a key priority for 2020/21.

Our KPI in this area is for wider Research & Enterprise income, which, in addition to the above, includes our Research England block grant, income linked to our support for local

growth and regeneration, from working with businesses and the public and third sectors, from CPD provision, training and development and specialist facility hire, and from postgraduate research activity. For 2018/19, the last year for which we have complete data, this combined metric was at its highest ever level.

### 3.3. The Careers and Enterprise Online Hub

The Careers and Enterprise Hub, launched in 2019/20, is supported by our refreshed and extended online support provision (formerly known as The CORE). This extensive resource includes a CV builder tool, interview simulator, and a wide range of resources on Careers and Enterprise topics.

### 3.4 B2B Portal

The B2B portal was the first of the three phases of the main University website to go live, and follows a comprehensive review and update of the existing business content, as well as a significant amount of new content. It uses clear, simple, business-friendly language and is structured around the four key 'pillars' of the University's offer:

- **Talent**            Develop your people  
                          Access our talent  
                          Showcase your organisation
- **Insight**            Access our experts  
                          Commission research
- **Spaces**            Host your event  
                          Access our facilities
- **Collaborate**      Enhance our curriculum  
                          Unlock funding  
                          Strategic projects

All 'calls to action' on the site direct enquiries through to the Enterprise and Engagement team in the first instance. One of the key reasons for this is to ensure the initial request is captured on Salesforce, either by adding the details to an existing account or by creating a new account. The Salesforce B2B CRM was implemented in June 2019 and is being used by colleagues in Enterprise and Employability and EDGE Hub.

### 3.5 Research Space: A comprehensive research management system

Research Space has replaced the previous mix of research information systems, integrated research with other CCCU systems, provided new functionality to increase efficiencies, and improved the user experience. Research Space provides a comprehensive range of monitoring and performance data across the full range of research and enterprise activity. This has significantly enhanced the effectiveness of current processes and reporting. Research Space comprises:

- *Research Degrees Manager*: This is the Graduate College's review management system which tracks and supports Postgraduate Research student progress. The system was implemented in November 2019
- *Repository*: An online institutional repository of all staff research publications and student theses launched in October 2019. During 2019/20 a total of 803 outputs were uploaded –

this includes but is not limited to books, compositions, conference items, datasets, digital and visual media, journal articles, reports and theses).

- *Ethics & Governance Monitor*: The paper-based Ethics application process was replaced by a dynamic online application system; the module went live in November 2019.
- *Research Funding*: This module will track, report and approve applications for external Research and Knowledge Exchange funding applications on-line. It is in the initial development stages and due to be deployed in 2021.

### 3.6 Researcher Development

Support for researcher development, among both staff and students, includes: our SPARC (Supporting Progression in Academic Research Careers) programme, which supports a cohort of between 20 and 30 members of staff, who receive bespoke input, mentoring, and support for career strategy; Research Internships which, despite COVID-19 restrictions, supported ten partnerships between student interns and staff during May-July 2020; our Researcher Development Programme (RDP) for postgraduate research students and early career staff, which has been considerably enhanced during 2019/20, and is now offered in blended learning mode, which has seen a significant increase in engagement from our part-time research students, who comprise more than half of our postgraduate research student cohort. In addition, Research Development organised a rolling programme of workshops for academic staff on research funding related topics and delivered several bespoke workshops for faculty based academic groups.

Future plans include the development of the SPARC programme into the new Academic Professional Apprenticeship (Research) standard. Consultations with Advance HE and Vitae suggest that Canterbury Christ Church University will be the first HEI to deliver this standard, and there appears to be a market, and interest from other HEIs, for the external delivery of this standard, as well as supporting the development of our own staff. Plans are also being developed to accredit our Researcher Development Programme (RDP) as a suite of postgraduate qualifications (certificate, diploma and Masters), which will allow our postgraduate research students to complete a qualification in Research Methods as well as their substantive research degree.

### 3.7 Ethics Monitoring and Audit

The Research and Enterprise Integrity Committee will review all policies and procedures within the Research and Enterprise Integrity Framework annually to ensure they remain 'fit for purpose' and continue to strive for excellence.

#### 3.7.1 Ethical Review Statistics

The data we have captured for academic year 2019-20 is a mixed picture. Up until January 2020 a mix of Research Space and email applications were permitted. (With a few exceptions) all ethics applications from staff and Postgraduate Research students should have been submitted through Research Space from January 2020. During 19/20 academic year Postgraduate Taught students were permitted to use Research Space to submit their ethics applications if there were not Programme Panels set up to do so, so the offline and online data includes PGT to an extent.

*Offline approvals (largely between 1<sup>st</sup> August 2019 and 31<sup>st</sup> January 2020)*

The number of research and enterprise projects approved offline by internal and external ethics panels (including Postgraduate Taught students) was as follows:

	Faculty of Arts & Humanities	Faculty of Education	Faculty of Health & Wellbeing	Faculty of Social & Applied Sciences			TOTAL
				All Schools except Salomon's	Salomon's only	All Schools	
Proportionate Checklist Review	9	8	4	12	0	12	33
Full Review by University or Faculty Ethics Panel	2	10	7	3	26	29	48
Review by External Ethics Panels	0	0	1	0	5	5	6
<b>TOTAL</b>	<b>11</b>	<b>18</b>	<b>12</b>	<b>15</b>	<b>31</b>	<b>46</b>	<b>87</b>

*Online approvals via Research Space: Ethics & Governance Monitor*

Research Space: Ethics & Governance went live on 25th November 2019. This data includes all approved applications via Research Space from 25th November 2019 to 31st July 2020.

Headlines:

- The first application was approved on 13th January 2020
- 139 approved ethics applications
- 33 staff applications approved
- 35 postgraduate Research student applications approved

Approved ethics applications by Panel

<b>Faculty of Arts and Humanities</b>	<b>10</b>
Faculty of Arts and Humanities Ethics Panel	10
<b>Faculty of Education</b>	<b>8</b>
Faculty of Education Ethics Panel	8
<b>Faculty of Medicine, Health and Social Care</b>	<b>9</b>
Faculty of Health and Wellbeing Ethics Panel	9
<b>Faculty of Social and Applied Sciences</b>	<b>112</b>
Faculty of Science, Engineering and Social Sciences Ethics Panel	109
Salomons Institute for Applied Psychology Ethics Panel	3
<b>Grand Total</b>	<b>139</b>

### Approved ethics applications by Panel and applicant category

	Totals	Totals (excl. PGT)
<b>Faculty of Arts and Humanities Ethics Panel</b>	<b>10</b>	<b>9</b>
Postgraduate Research Student	9	
Postgraduate Taught Student (PGT)	1	
<b>Faculty of Education Ethics Panel</b>	<b>8</b>	<b>8</b>
Postgraduate Research Student	4	
Researcher	4	
<b>Faculty of Health and Wellbeing Ethics Panel</b>	<b>9</b>	<b>8</b>
Postgraduate Research Student	1	
Postgraduate Taught Student (PGT)	1	
Researcher	7	
<b>Faculty of Science, Engineering and Social Sciences Ethics Panel</b>	<b>109</b>	<b>40</b>
Postgraduate Research Student	19	
Postgraduate Taught Student (PGT)	69	
Researcher	20	
Staff	1	
<b>Salomons Institute for Applied Psychology Ethics Panel</b>	<b>3</b>	<b>3</b>
Postgraduate Research Student	2	
Researcher	1	
<b>Grand Total</b>	<b>139</b>	<b>68</b>

### 3.8 Research Misconduct

No allegations of research misconduct were received or investigated during 2019/20. There were no cases of suspended or cancelled ethics approvals.

## 4. STATEMENT OF COMPLIANCE

The committees that have considered and approved this report are satisfied that the University meets Research England's compliance requirement with the Concordat to Support Research Integrity to have in place processes and guidance to ensure research and enterprise activities at Canterbury Christ Church University are conducted according to the highest standards of integrity and rigour. They endorse this report as the basis for providing assurance of compliance to the Office for Students in the University's annual assurance return.