

Research Integrity Funder Requirements Guidance Document: ESRC Economic and Social Research Council – At Application Stage

In addition to the below guidance, for existing grant holders, please also refer to the contract of your grant's terms and conditions for additional potential requirements on these topics.

Bullying and Harassment:

Please familiarise yourself with the position statement located here:

<https://www.ukri.org/wp-content/uploads/2020/10/UKRI-020920-BullyingAndHarassmentPositionStatement.pdf>

Please familiarise yourself with the policy located here:

<https://www.ukri.org/wp-content/uploads/2020/10/UKRI-050920-PreventingHarmSafeguardingInResearchAndInnovationPolicy.pdf>

For further information, please familiarise yourself with the examples of what is bullying and harassment and URKIs actions:

Please familiarise yourself with the policy located here:

<https://www.ukri.org/wp-content/uploads/2021/03/UKRI-150321-FullEconomicCostingGrantTermsConditions-Mar2021.pdf>

Of note section 3.6 page 9 of 22:

“Bullying and Harassment You must have clear, well-publicised policies, processes and training in place consistent with good practice as recommended by the Advisory, Conciliation and Arbitration Service’s (ACAS) ‘Bullying and Harassment in the Workplace: A Guide for Managers and Employers’ or equivalent framework. We expect you to take an organisation-wide approach to prevention, including appropriate leadership and management training and dedicated support on bullying and harassment. Where relevant you should take into account guidance and advice set out by:

- *1752 Group, on addressing staff sexual misconduct*
- *the Office for Students, on handling harassment and sexual misconduct in higher education*
- *the Office of the Independent Adjudicator for Students in Higher Education, on handling student complaints and academic appeals”*

UKRI’s Preventing Harm (Safeguarding) in Research and Innovation policy sets out how we expect to be informed about incidences of bullying and harassment relating to UKRI funded activity and the actions we may take where we identify that institutions do not have robust processes in place.”

Research Misconduct:

Please familiarise yourself with the policy located here: <https://www.ukri.org/wp-content/uploads/2021/03/UKRI-050321-PolicyGuidelinesGovernanceOfGoodResearchConduct.pdf>

Of note section 4 page 7 of 11

“Where an allegation of research misconduct is about someone funded by, or engaged with, Research Council(s) (including acting as a supervisor for a Research Council postgraduate student or engaged with peer review activities), even if it is about work not connected with a

grant from a Research Council, the case should be reported to the relevant Council at the stage that it is decided to undertake an informal inquiry – i.e. that there is a reasonable case that research misconduct may have occurred. Depending on outcomes, the relevant Council should also be informed at the following stages:

- When the outcome of the informal enquiry is known (e.g. whether the allegation is dismissed or taken through to a formal investigation)
- When the outcome of the formal investigation is known (e.g. whether the case is dismissed or a disciplinary hearing is arranged)
- When the outcome of the disciplinary hearing is known, and what it was.

The Councils reserve the right to take appropriate action about any duties being performed for them at any stage during the process.”

For further information, please familiarise yourself with the full: Investigating Allegations of Misconduct in Research Policy V3.0: <https://www.ukri.org/wp-content/uploads/2020/10/UKRI-020920-InvestigatingAllegationsOfMisconductInResearchPolicy.pdf>

Please familiarise yourself with the policy located here: <https://esrc.ukri.org/funding/guidance-for-applicants/research-ethics/our-policy-and-guidelines-for-good-research-conduct/> and here: <https://esrc.ukri.org/funding/guidance-for-applicants/research-ethics/our-commitment/>

Of note it states: “All research organisations (ROs) in receipt of ESRC funds are required to have procedures in place for governing research practice to ensure sound scientific conduct, as set out in the [UK Research and Innovation \(UKRI\) policy and guidelines on governance of good research conduct](#). This guidance identifies requirements on reporting and investigation of unacceptable research conduct.”

“Call into account the RO, principal investigator and researchers involved in upheld allegations of research misconduct and breach of compliance with the research councils' grant conditions in ESRC-funded research. Sanctions may apply depending on the severity of the breach. This could result in the immediate suspension of the individual project and other projects based at or co-ordinated by the administering RO, and a halt to considering further proposal submissions from that RO. For further information please refer to [RCUK Policy and guidelines on governance of good research conduct](#)”

For matters concerning research integrity, or if you are an organisation funded by UKRI and need to report an allegation of research misconduct, please contact the designated contacts: ESRC:

sara.slade@esrc.ukri.org

as outlined:

<https://www.ukri.org/about-us/policies-standards-and-data/good-research-resource-hub/research-integrity/>

Conflict of Interest

Please familiarise yourself with the policy located here:

<https://esrc.ukri.org/funding/guidance-for-applicants/research-ethics/conflicts-of-interest-complaints-and-appeals/>

Of note it states: “Fundamental to dealing with each of these situations is the principle of prior disclosure of potential conflicts of interest and withdrawal from discussion and decision-making.

Guidance provided by the [UK Research Integrity Office \(UKRIO\) \(external website\)](#) and our [Policy and Guidelines on Governance of Good Research Conduct \(external website\)](#) may be helpful.”

Please familiarise yourself with the policy located here:

<https://www.ukri.org/wp-content/uploads/2021/03/UKRI-050321-PolicyGuidelinesGovernanceOfGoodResearchConduct.pdf>

Of note section RGC 3.1.2 on page 8 of 22

“You must follow Our Policy and Guidelines on Governance of Good Research Conduct at:

<https://www.ukri.org/about-us/policies-standards-and-data/good-research-resource-hub/research-integrity/> and ensure that the requirements set out in the Concordat to Support Research Integrity (2012) are met. In particular, You are responsible for ensuring all necessary permissions are obtained before the Project begins, that there is clarity in roles and responsibility among Grant Holders, Research Workers, and Third Parties, as well as investigating and reporting unacceptable research conduct. Any potential conflicts of interest in research identified at the point of application must be declared to Us and subsequently managed.”

For further information, please familiarise yourself with the examples of what interests should be declared and the management of conflicts:

<https://www.ukri.org/wp-content/uploads/2020/11/UKRI-261120-Declaration-of-Interests-for-applicants-v2.pdf>

Of note on page 1 of 2:

“As part of this, any private, personal or commercial interests relating to an application for funding to UKRI must be declared in a covering letter included as an application attachment.”

On page 1 and 2:

“Interests to declare:

1. Personal Remuneration from organisations or project partners involved in the proposed research (other than the named employing organisation)
2. Significant Shareholdings or other Financial Interests in organisations which are involved in or might benefit from the research
3. Research support (financial or in kind) from commercial organisations involved in the grant or which might benefit from the outcome of the research that are not mentioned in the application
4. Un-remunerated involvement with any organisation named on the application or which might benefit from the research or its outcomes
5. Political/pressure group associations
6. Family”

Safeguarding:

Please familiarise yourself with the policy located here:

<https://www.ukri.org/wp-content/uploads/2021/03/UKRI-150321-FullEconomicCostingGrantTermsConditions-Mar2021.pdf>

Of note section 3.5 page 9 of 22: *“RGC 3.5 Safeguarding All relevant safeguarding legislation must be adhered to, We particularly draw your attention to child protection legislation and the Modern Slavery Act 2015. You must have sufficient policies and/or processes in place in order to foster Safeguarding.”*

For further information, please familiarise yourself with the full preventing harm in ‘safeguarding’ in

research and innovation policy:

<https://www.ukri.org/wp-content/uploads/2020/10/UKRI-050920-PreventingHarmSafeguardingInResearchAndInnovationPolicy.pdf>

Of note in section 6, page 7-8 of 16

“There should be an agreed process in place for sharing information about upheld allegations against individuals directly involved in the research and innovation activity, and/or risks to the activity by the partner organisations...*Organisations must inform UKRI of the concern or incident in a timely manner so that UKRI can work with the organisation to determine an appropriate course of action to mitigate the risk that harm, or further harm, could occur.* The report should provide a brief factual statement about the nature of the concern or incident, any action taken and any further planned action. No personal information should be included in the report.

Of note in section 6.2, pages 8 and 9 of 16 6.2, “*How organisations should respond to unacceptable personal conduct, requires that we:*

- *In an impartial, fair and timely manner, investigate allegations that a member of staff or student has exploited, abused or harmed another member of staff, student, associated personnel, research and innovation participant or member of the general public. It must:*
- *protect the rights of all individuals involved*
- *take a victim/survivor-centred approach, listen and take concerns seriously, and provide appropriate support for the victim/survivor*
- *take appropriate action*
- ...
- *Have processes and procedures in place to review and manage the risks associated with the continued involvement of an individual in a UKRI grant application or UKRI-funded activity while an allegation of exploitation, abuse or harm is investigated.*
- *If, following the investigation, the allegation of exploitation, abuse or harm against an individual directly involved in a UKRI-funded activity is upheld, the organisation must notify UKRI of the investigation and the decision in a timely manner. Notification should include:*
- *a brief factual statement about the nature of the allegation*
- *the findings of the investigation*
- *what, if any, disciplinary action is being taken and/or remedies are being given to the victim/survivor*
- *what, if any, changes to policy and practice have been implemented in response to this case and what assurances will be put in place as to their effectiveness”*

Whistleblowing:

Please familiarise yourself with the policy located here:

[UKRI-150321-FullEconomicCostingGrantTermsConditions-Mar2021.pdf](#)

Of note section 3.7 page 9 of 22 “*Whistleblowing You must have clear, well-publicised policies and processes in place consistent with good practice recommended by the National Audit Office Assessment Criteria for Whistleblowing policies.*”