

16th August 2019

[REDACTED]

[REDACTED]

Freedom of Information request: 2019/0164

Thank you for your Freedom of Information request received on the 03 July 2019 in which you requested the following:

Your request:

I am writing to request further figures on this, under the FOIA. You previously supplied information for April 2018 to January 2019. I am writing to request the same information for the months of February 2019, March 2019, April 2019, May 2019 and June 2019.

Your previous request, cited above, was answered under UKRI reference 2018/0241 and was as follows:

I am writing under the Freedom of Information Act to ask for information compiled by your organisation on cases of research misconduct.

- 1. Please supply figures on any cases that have been investigated at UK Research and Innovation, including a monthly breakdown and the amount of funding each case relates to.*
- 2. How many of these cases – if any – have led to research funding being withdrawn or suspended?*
- 3. Please send copies of emails/letters relating to these cases.*

Our response

I can confirm UK Research and Innovation (UKRI) holds information relevant to your request.

As outlined in our previous response UKRI requires the Research Organisations (ROs) it funds to inform it of investigations into allegations of research misconduct that are relevant to the research it funds. In line with UKRI *Policy and Guidelines on Governance of Good Research Conduct* and the *UUK Concordat to Support Research Integrity* the RO holding the award is responsible for any investigations; however, UKRI reserves the right to participate in investigations led by another body.

UKRI would also have a role in investigating allegations relating to research undertaken in its own research institutes (within MRC, NERC and STFC). In such cases UKRI may investigate in line with its policies that apply as an employer or participate in an investigation led by another body.

In line with the above information and our previous response (2018/0241) please find UKRI's answers to your questions below:

1. Please supply figures on any cases that have been investigated at UK Research and Innovation, including a monthly breakdown and the amount of funding each case relates to.

From January¹ 2019 to June 2019 UKRI was informed of 10 formal investigations of allegations of research misconduct by ROs. A monthly breakdown is provided in Table 1 below.

Table 1: Formal Investigations of research misconduct reported to UK Research and Innovation councils (January 2019-June 2019)

Month UKRI informed	EPSRC	NERC	MRC
Jan -19	-	-	3
Feb-19	-	-	-
Mar-19	2	1	-
Apr-19	1	-	1
May-19	-	-	-
Jun-19	1	-	1

AHRC, BBSRC, STFC and Research England have not received any reports of formal investigations of allegations of research misconduct for the time period stated in your request.

At the time of writing UKRI have not been informed of any reports of formal investigations of allegations of research misconduct for the time period requested from ESRC or Innovate UK.

You may also find it helpful to view the information regarding research integrity that the research councils have published on the [UKRI website](#). You may find the RCUK annual narrative statements of particular interest as they report research misconduct allegations information, in accordance with the obligation set out in [concordat to support research integrity](#). The last statement published has an end date of March 2018; UKRI will issue a statement for 2019 in due course.

As stated in our previous response (2018/0241) Information relating to the amount of funding for each case has not been provided, as to do so may result in individual award holders being identified. We are exempting this information under section 40(2) of the FOIA, which applies when the information sought is not the personal data of the requestor. To provide the amount of funding per case would allow you to identify individuals, disclosing this information would contravene the first data protection principle as defined under Section 86 of the Data Protection Act 2018 and Article 5 of EU General Data Protection Regulation (GDPR) 2016.

Section 40(2) is an absolute exemption and does not require a public interest test.

Although UKRI cannot provide figures for the amount of funding relating to each case, we can provide the total for the cases identified in Table 1. It is not possible to attribute a monetary value to each case as the investigations are in the preliminary stages. For cases where it is possible to determine a value, the total amount of funding identified is £688,169.

2. How many of these cases – if any – have led to research funding being withdrawn or suspended?
3. Please send copies of emails/letters relating to these cases.

As the cases reported in Table 1 above did not result in the withdrawal or suspension of funding UKRI does not hold any information relating to question 2 and 3 of your request.

If you have any queries regarding our response or you are unhappy with the outcome of your request and wish to seek a review of the decision, please contact:

Head of Information Governance
 UK Research and Innovation
 Polaris House
 North Star Avenue

¹ A number of formal investigations were confirmed at the end of January 2019 after the data for FOI2018/0241 had been finalised.

Swindon
SN2 1FL
Email: foi@ukri.org or infogovernance@ukri.org


Please quote the reference number above in any future communications.

If you are still not content with the outcome of the review, you may apply to refer the matter to the Information Commissioner for a decision. Generally, the ICO cannot make a decision unless you have exhausted the review procedure provided by UKRI. Details on how to contact The Information Commissioner can be:

found at <http://www.ico.gov.uk/>

If you wish to raise a complaint regarding the service you have received or the conduct of any UKRI staff in relation to your request, please see UKRI's complaints policy: <https://www.ukri.org/about-us/policies-and-standards/complaints-policy/>

Yours sincerely,


UK Research and Innovation, Information Governance Team
Email: foi@ukri.org