

# Appendix: comparison of the first and second editions of the Concordat

The Concordat underwent significant revision prior to the publication of its second edition in October 2019. This section summarises some of the key changes in the 2019 Concordat compared to its 2012 predecessor.

**Please note** that it does **not** summarise every change between the two editions. The shaded text in the 2019 version indicates where text was added and/or replaced in the 2012 version. While retaining the overall structure of the first edition – the five commitments of research integrity - the Concordat was edited throughout for clarity of language. As a result, a comparison of the entire texts of the two documents is of limited value and could be misleading.

For obvious reasons, the best way to understand the changes and new provisions of the revised Concordat is to scrutinise it carefully. UKRIO recommends careful consideration of the 2019 edition of the Concordat, which can be accessed [via Universities UK's website](#).

To supplement such scrutiny of the 2019 edition, this section summarises changes to the following key elements of the Concordat:

- Definition of research integrity.
- Definition of research misconduct.
- Specific responsibilities required of researchers.
- Specific responsibilities required of employers of researchers.
- Specific responsibilities required of funders of research.

## Commitment to the new Concordat and period of implementation

As noted earlier, employers of researchers must demonstrate their commitment to the 2019 edition of the Concordat by 25 October 2020. By that time they must, according to [the Universities UK website](#), have as a minimum:

- Identified a named point of contact who will act as a first point of contact for anyone wanting more information on matters of research integrity and ensured that contact details for this person are kept up to date and are publicly available on the institution's website (page 11 of the Concordat).
- Provided a named point of contact or a recognised and appropriate third party to act as confidential liaison for whistle-blowers or any other person wishing to raise concerns about the integrity of research being conducted under their auspices (page 14 of the Concordat).
- Published an annual statement on how they are meeting the requirements of the revised concordat (page 16 of the Concordat).

UKRIO recommends careful and regular scrutiny, of both [Universities UK's website](#) and the research integrity and related policies of funders, to ensure that institutions are aware of any changing requirements.

**On the following pages, the shaded text in the 2019 version indicates where text was added and/or replaced compared to the 2012 version.**

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## Definition of research integrity

2019 (current) edition	2012 (previous) edition
<p><b>Honesty</b> in all aspects of research, including in the presentation of research goals, intentions and findings; in reporting on research methods and procedures; in gathering data; in using and acknowledging the work of other researchers; and in conveying valid interpretations and making justifiable claims based on research findings.</p>	<p><b>honesty</b> in all aspects of research, including in the presentation of research goals, intentions and findings; in reporting on research methods and procedures; in gathering data; in using and acknowledging the work of other researchers and in conveying valid interpretations and making justifiable claims based on research findings.</p>
<p><b>Rigour</b>, in line with prevailing disciplinary norms and standards, and in performing research and using appropriate methods; in adhering to an agreed protocol where appropriate; in drawing interpretations and conclusions from the research; and in communicating the results.</p>	<p><b>Rigour</b>, in line with prevailing disciplinary norms and standards: in performing research and using appropriate methods; in adhering to an agreed protocol where appropriate; in drawing interpretations and conclusions from the research; and in communicating the results.</p>
<p><b>Transparency and open communication</b> in declaring potential competing interests; in the reporting of research data collection methods; in the analysis and interpretation of data; in making research findings widely available, which includes publishing or otherwise sharing negative or null results to recognise their value as part of the research process; and in presenting the work to other researchers and to the public.</p>	<p><b>Transparency and open communication</b> in declaring conflicts of interest; in the reporting of research data collection methods; in the analysis and interpretation of data; in making research findings widely available, which includes sharing negative results as appropriate; and in presenting the work to other researchers and to the general public.</p>
<p><b>Care and respect</b> for all participants in research, and for the subjects, users and beneficiaries of research, including humans, animals, the environment and cultural objects. Those engaged with research must also show care and respect for the integrity of the research record.</p>	<p><b>Care and respect</b> for all participants in and subjects of research, including humans, animals, the environment and cultural objects. Those engaged with research must also show care and respect for the stewardship of research and scholarship for future generations.</p>
<p><b>Accountability</b> of funders, employers and researchers to collectively create a research environment in which individuals and organisations are empowered and enabled to own the research process. Those engaged with research must also</p>	

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2019 (current) edition	2012 (previous) edition
ensure that individuals and organisations are held to account when behaviour falls short of the standards set by this concordat	

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## Definition of research misconduct

2019 (current) edition	2012 (previous) edition
<p><b>fabrication:</b> making up results, other outputs (for example, artefacts) or aspects of research, including documentation and participant consent, and presenting and/or recording them as if they were real</p>	<p><b>fabrication:</b> making up results or other outputs (e.g., artefacts) and presenting them as if they were real</p>
<p><b>falsification:</b> inappropriately manipulating and/or selecting research processes, materials, equipment, data, imagery and/or consents</p>	<p><b>falsification:</b> manipulating research processes or changing or omitting data without good cause</p>
<p><b>plagiarism:</b> using other people's ideas, intellectual property or work (written or otherwise) without acknowledgement or permission</p>	<p><b>plagiarism:</b> using other people's material without giving proper credit</p>
<p><b>failure to meet:</b> legal, ethical and professional obligations, for example:</p> <ul style="list-style-type: none"> <li>not observing legal, ethical and other requirements for human research participants, animal subjects, or human organs or tissue used in research, or for the protection of the environment</li> <li>breach of duty of care for humans involved in research whether deliberately, recklessly or by gross negligence, including failure to obtain appropriate informed consent</li> <li>misuse of personal data, including inappropriate disclosures of the identity of research participants and other breaches of confidentiality</li> <li>improper conduct in peer review of research proposals, results or manuscripts submitted for publication. This includes failure to disclose conflicts of interest; inadequate disclosure of clearly limited competence; misappropriation of the content of material; and breach of</li> </ul>	<p><b>failure to meet ethical, legal and professional obligations:</b> for example failure to declare competing interests; misrepresentation of involvement or authorship; misrepresentation of interests; breach of confidentiality; lack of informed consent; misuse of personal data; and abuse of research subjects or materials</p>

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2019 (current) edition	2012 (previous) edition
<p>confidentiality or abuse of material provided in confidence for the purposes of peer review</p>	
<p><b>misrepresentation of:</b></p> <ul style="list-style-type: none"> <li>• data, including suppression of relevant results/data or knowingly, recklessly or by gross negligence presenting a flawed interpretation of data</li> <li>• involvement, including inappropriate claims to authorship or attribution of work and denial of authorship/attribution to persons who have made an appropriate contribution</li> <li>• interests, including failure to declare competing interests of researchers or funders of a study</li> <li>• qualifications, experience and/or credentials</li> <li>• publication history, through undisclosed duplication of publication, including undisclosed duplicate submission of manuscripts for publication</li> </ul>	
<p><b>improper dealing with allegations of misconduct:</b> failing to address possible infringements, such as attempts to cover up misconduct and reprisals against whistle-blowers, or failing to adhere appropriately to agreed procedures in the investigation of alleged research misconduct accepted as a condition of funding. Improper dealing with allegations of misconduct includes the inappropriate censoring of parties through the use of legal instruments, such as non-disclosure agreements</p>	<p><b>improper dealing with allegations of misconduct:</b> failing to address possible infringements such as attempts to cover up misconduct and reprisals against whistleblowers.</p>

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## Responsibilities of researchers

Concordat Commitment	2019 (current) edition	2012 (previous) edition
1. Maintaining the highest standards	<p>Researchers are responsible for:</p> <ul style="list-style-type: none"> <li>understanding the expected standards of rigour and integrity relevant to their research</li> <li>maintaining the highest standards of rigour and integrity in their work at all times</li> </ul>	<p>Researchers will:</p> <ul style="list-style-type: none"> <li>understand the expected standards of rigour and integrity relevant to their research</li> <li>maintain the highest standards of rigour and integrity in their work at all times</li> </ul>
2. Ethical, legal and other frameworks	<p>Researchers must:</p> <ul style="list-style-type: none"> <li>comply with ethical, legal and professional frameworks, obligations and standards as required by statutory and regulatory authorities, and by employers, funders and other relevant stakeholders</li> <li>ensure that all their research is subject to active and appropriate consideration of ethical issues</li> </ul>	<p>Researchers will also:</p> <ul style="list-style-type: none"> <li>ensure that all research is subject to active and appropriate consideration of ethical issues</li> <li>comply with ethical, legal and professional frameworks, obligations and standards as required by statutory and regulatory authorities, and by employers, funders and other relevant stakeholders</li> </ul>
3. Research culture	<p>Researchers will:</p> <ul style="list-style-type: none"> <li>(*) take responsibility for keeping their knowledge up to date on the frameworks, standards and obligations that apply to their work</li> </ul>	<p><b>Note (*):</b> similar wording appeared in the accompanying text for Commitment 3 in the 2012 Concordat. In the 2019 Concordat, it has been highlighted as an explicit responsibility of researchers and its wording has been modified.</p>

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Concordat Commitment	2019 (current) edition	2012 (previous) edition
	<ul style="list-style-type: none"> <li>collaborate to maintain a research environment that encourages research integrity</li> <li>design, conduct and report research in ways that embed integrity and ethical practice throughout</li> </ul>	
<p><b>4. Dealing with research misconduct</b></p>	<p>Researchers will:</p> <ul style="list-style-type: none"> <li>act in good faith with regard to allegations of research misconduct, whether in making allegations or in being required to participate in an investigation, and take reasonable steps, working with employers as appropriate, to ensure the recommendations made by formal research misconduct investigation panels are implemented</li> <li>handle potential instances of research misconduct in an appropriate manner; this includes reporting misconduct to employers, funders and professional, statutory and regulatory bodies as circumstances require</li> <li>declare and act accordingly to manage conflicts of interest</li> </ul>	<p>Researchers will:</p> <ul style="list-style-type: none"> <li>act in good faith with regard to allegations of research misconduct, whether in making allegations or in being required to participate in an investigation</li> <li>handle potential instances of research misconduct in an appropriate manner; this includes reporting misconduct to employers, funders and professional, statutory and regulatory bodies as circumstances require</li> </ul>
<p><b>5. Strengthening research integrity</b></p>	<p>Researchers will ensure their own integrity and help to develop a</p>	

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Concordat Commitment	2019 (current) edition	2012 (previous) edition
	culture of integrity in their groups, departments and institutions.	

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## Responsibilities of Employers of Researchers

Concordat Commitment	2019 (current) edition	2012 (previous) edition
<p><b>1. Maintaining the highest standards</b></p>	<p>Employers of researchers are responsible for:</p> <ul style="list-style-type: none"> <li>maintaining a research environment that develops good research practice and embeds a culture of research integrity, as described in commitments 2 to 5</li> <li>supporting researchers to understand and act according to expected standards, values and behaviours</li> <li>defending researchers when they live up to the expectations of this concordat in difficult circumstances</li> <li>demonstrating that they have procedures in place to ensure that research is conducted in accordance with standards of best practice; systems to promote research integrity; and transparent, robust and fair processes to investigate alleged research misconduct</li> </ul>	<p>Employers of researchers are responsible for:</p> <ul style="list-style-type: none"> <li>collaborating to maintain a research environment that develops good research practice and nurtures a culture of research integrity, as described in commitments 2 to 5</li> <li>supporting researchers to understand and act according to expected standards, values and behaviours, and defending them when they live up to these expectations in difficult circumstances</li> </ul>
<p><b>2. Ethical, legal and other frameworks</b></p>	<p>Employers of researchers must:</p> <ul style="list-style-type: none"> <li>have clear policies on ethical review and approval that are available to all researchers</li> <li>make sure that all researchers are aware of, and understand</li> </ul>	<p>Employers of researchers are responsible for:</p> <ul style="list-style-type: none"> <li>having clear policies on ethical approval available to all researchers</li> </ul>

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Concordat Commitment	2019 (current) edition	2012 (previous) edition
	<p>policies and processes relating to ethical approval</p> <ul style="list-style-type: none"> <li>• support researchers to adopt best practice in relation to ethical, legal and professional requirements</li> <li>• have appropriate arrangements in place through which researchers can access advice and guidance on ethical, legal and professional obligations and standards</li> </ul>	<ul style="list-style-type: none"> <li>• making sure that all researchers are aware of and understand policies and processes relating to ethical approval</li> <li>• supporting researchers to reflect best practice in relation to ethical, legal and professional requirements</li> <li>• having appropriate arrangements in place through which researchers can access advice and guidance on ethical, legal and professional obligations and standards</li> </ul>
<p>3. Research culture</p>	<p>Employers of researchers will:</p> <ul style="list-style-type: none"> <li>• embed these features in their own systems, processes and practices</li> <li>• reflect recognised best practice in their own systems, processes and practices</li> <li>• implement the concordat within their research environment</li> <li>• participate in an annual monitoring exercise to demonstrate that the institution has met the commitments of the concordat</li> <li>• promote training and development opportunities to</li> </ul>	<p>Employers of researchers will:</p> <ul style="list-style-type: none"> <li>• embed these features in their own systems, processes and practices</li> <li>• work towards reflecting recognised best practice in their own systems, processes and practices</li> <li>• implement the concordat within their research environment</li> </ul> <p><i>Note (*): similar wording appeared in the accompanying text for Commitment 3 in the 2012 Concordat. In the 2019 Concordat, it has been highlighted as an explicit responsibility of employers</i></p>

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Concordat Commitment	2019 (current) edition	2012 (previous) edition
	<p>research staff and students, and encourage their uptake</p> <ul style="list-style-type: none"> <li>• (*) identify a named senior member of staff to oversee research integrity and ensure that this information is kept up to date and publicly available on the institution's website</li> <li>• (*) identify a named member of staff who will act as a first point of contact for anyone wanting more information on matters of research integrity, and ensure that contact details for this person are kept up to date and are publicly available on the institution's website</li> </ul>	<p><i>of researchers and its wording has been modified.</i></p>
<p><b>4. Dealing with research misconduct</b></p>	<p>Employers of researchers must:</p> <ul style="list-style-type: none"> <li>• have clear, well-articulated and confidential mechanisms for reporting allegations of research misconduct</li> <li>• have robust, transparent and fair processes for dealing with allegations of misconduct that reflect best practice. This includes the use of independent external members of formal investigation panels, and clear routes for appeal (see the references section)</li> </ul>	<p>As part of existing mechanisms and conditions of grant, employers of researchers should already:</p> <ul style="list-style-type: none"> <li>• have clear, well-articulated and confidential mechanisms for reporting allegations of research misconduct</li> <li>• have robust, transparent and fair processes for dealing with allegations of misconduct that reflect best practice (see Annexe II)</li> <li>• ensure that all researchers are made aware of the relevant contacts and procedures for making allegations</li> </ul>

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Concordat Commitment	2019 (current) edition	2012 (previous) edition
	<ul style="list-style-type: none"> <li>• ensure that all researchers and other members of staff are made aware of the relevant contacts and procedures for making allegations</li> <li>• act with no detriment to whistle-blowers who have made allegations of misconduct in good faith, or in the public interest, including taking reasonable steps to safeguard their reputation. This should include avoiding the inappropriate use of legal instruments, such as non-disclosure agreements</li> <li>• take reasonable steps to resolve any issues found during the investigation. This can include imposing sanctions, requesting a correction of the research record and reporting any action to regulatory and statutory bodies, research participants, funders or other professional bodies as circumstances, contractual obligations and statutory requirements dictate</li> <li>• take reasonable steps to safeguard the reputation of individuals who are exonerated</li> </ul>	<ul style="list-style-type: none"> <li>• act with no detriment to whistleblowers making allegations of misconduct in good faith</li> <li>• provide information on investigations of research misconduct to funders of research and professional and/or statutory bodies as required by their conditions of grant and other legal, professional and statutory obligations</li> <li>• support their researchers in providing appropriate information to professional and/or statutory bodies</li> </ul>

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Concordat Commitment	2019 (current) edition	2012 (previous) edition
	<ul style="list-style-type: none"> <li>• provide information on investigations of research misconduct to funders of research and to professional and/or statutory bodies as required by their conditions of grant and other legal, professional and statutory obligations</li> <li>• support their researchers in providing appropriate information when they are required to make reports to professional and/or statutory bodies</li> <li>• provide a named point of contact or recognise an appropriate third party to act as confidential liaison for whistle-blowers or any other person wishing to raise concerns about the integrity of research being conducted under their auspices. This need not be the same person as the member of staff identified to act as first point of contact on research integrity matters, as recommended under commitment 3</li> </ul>	
<p><b>5. Strengthening research integrity</b></p>	<p>Employers of researchers will:</p> <ul style="list-style-type: none"> <li>• (*) take steps to ensure that their environment promotes and embeds a commitment to</li> </ul>	<p>The concordat therefore recommends that employers of researchers should present a short annual statement to their own governing body that:</p>

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Concordat Commitment	2019 (current) edition	2012 (previous) edition
	<p>research integrity, and that suitable processes are in place to deal with misconduct</p> <ul style="list-style-type: none"> <li>• (*) produce a short annual statement, which must be presented to their own governing body, and subsequently be made publicly available, ordinarily through the institution's website. This annual statement must include:               <ul style="list-style-type: none"> <li>○ a summary of actions and activities that have been undertaken to support and strengthen understanding and the application of research integrity issues (for example postgraduate and researcher training, or process reviews)</li> <li>○ a statement to provide assurance that the processes the institution has in place for dealing with allegations of misconduct are transparent, timely, robust and fair, and that they continue to be appropriate to the needs of the organisation</li> <li>○ a high-level statement on any formal investigations of research misconduct</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• provides a summary of actions and activities that have been undertaken to support and strengthen understanding and application of research integrity issues (for example postgraduate and researcher training, or process reviews)</li> <li>• provides assurances that the processes they have in place for dealing with allegations of misconduct are transparent, robust and fair, and that they continue to be appropriate to the needs of the organisation</li> <li>• provides a high-level statement on any formal investigations of research misconduct that have been undertaken</li> <li>• <b>Note (*):</b> similar wording appeared in the accompanying text for Commitment 5 in the 2012 Concordat. In the 2019 Concordat, it has been highlighted as an explicit responsibility of employers of researchers and its wording has been modified.</li> </ul>

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Concordat Commitment	2019 (current) edition	2012 (previous) edition
	<p>that have been undertaken, which will include data on the number of investigations. If no formal investigation has been undertaken, this should also be noted</p> <ul style="list-style-type: none"> <li>○ a statement on what the institution has learned from any formal investigations of research misconduct that have been undertaken, including what lessons have been learned to prevent the same type of incident re-occurring</li> <li>○ a statement on how the institution creates and embeds a research environment in which all staff, researchers and students feel comfortable to report instances of misconduct</li> <li>• periodically review their processes to ensure that these remain fit for purpose</li> </ul>	

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## Responsibilities of Funders of Research

Concordat Commitment	2019 (current) edition	2012 (previous) edition
<p><b>1. Maintaining the highest standards</b></p>	<p>Funders of research will:</p> <ul style="list-style-type: none"> <li>publish clear statements of their expectations of researchers and employers of researchers with respect to standards of professionalism and integrity</li> <li>take research integrity into account in the development of policies and processes</li> <li>encourage adoption of the concordat by associating it with their funding conditions</li> </ul>	<p>Funders of research expect:</p> <ul style="list-style-type: none"> <li>researchers to adhere to the highest standards of professionalism and integrity</li> <li>employers of researchers to have procedures in place to ensure that research is conducted in accordance with standards of best practice; systems to promote research integrity; and transparent, robust and fair processes to investigate alleged research misconduct</li> </ul>
<p><b>2. Ethical, legal and other frameworks</b></p>	<p>To support researchers and employers of researchers, funders of research will:</p> <ul style="list-style-type: none"> <li>through engagement with the signatories and other stakeholders, explore ways of streamlining their requirements to reduce duplication, inconsistency and/or conflict</li> <li>ensure that their requirements are, through regular review, proportionate, relevant and consistent with the expectations of the concordat</li> <li>(*) incorporate proportionate checks, where appropriate, in the application and award</li> </ul>	<p>To support researchers and employers of researchers, funders of research will:</p> <ul style="list-style-type: none"> <li>clearly identify any specific codes of practice, legal requirements and other policies that researchers and employers of researchers are expected to comply with</li> <li>explore ways of streamlining requirements to reduce any duplication and inconsistency</li> <li><b>Note (*):</b> similar wording appeared in the accompanying text for Commitment 2 in the 2012 Concordat. In the 2019 Concordat, it has been</li> </ul>

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Concordat Commitment	2019 (current) edition	2012 (previous) edition
	<p>processes related to legal and ethical requirements</p> <ul style="list-style-type: none"> <li>only provide funding to organisations that can demonstrate that appropriate structures are in place to ensure research integrity in their research activities</li> <li>(*) clearly identify and indicate any specific codes of practice and other policies that researchers and employers of researchers are expected to comply with, beyond those that might be generally expected</li> </ul>	<p><i>highlighted as an explicit responsibility of funders of research and its wording has been modified.</i></p>
<p>3. Research culture</p>	<p>Funders of research will:</p> <ul style="list-style-type: none"> <li>promote adoption of the concordat within the research community</li> <li>support the implementation of the concordat through shared guidance, policies and plans</li> <li>identify within their organisation a senior member of staff responsible for oversight of research integrity and ensure that this information is publicly available on the organisation's website</li> <li>identify within their organisation a named lead contact for research integrity,</li> </ul>	<p>Funders of research are responsible for:</p> <ul style="list-style-type: none"> <li>promoting adoption of the concordat within the research community</li> <li>supporting the implementation of the concordat through shared guidance, policies and plans</li> <li><b>Note (*):</b> <i>similar wording appeared in the accompanying text for Commitment 3 in the 2012 Concordat. In the 2019 Concordat, it has been highlighted as an explicit responsibility of funders of research and its wording has been modified.</i></li> </ul>

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Concordat Commitment	2019 (current) edition	2012 (previous) edition
	<p>and ensure that contact details for this person are kept up to date and are publicly available on the organisation’s website</p> <ul style="list-style-type: none"> <li>• consider whether their policies and processes create disincentives for the creation and embedding of a positive research culture</li> <li>• work in partnership with employers and researchers to embed a culture of integrity within the research community</li> <li>• (*) encourage adoption of the concordat by associating it with their funding conditions</li> </ul>	
<p><b>4. Dealing with research misconduct</b></p>	<p>Funders of research will:</p> <ul style="list-style-type: none"> <li>• publish clear statements of what constitutes research misconduct</li> <li>• ensure that recipients of funding are aware of requirements regarding the investigation and reporting of research misconduct, and that these are openly stated</li> <li>• work with employers of researchers to manage funding appropriately, including any staff supported by an affected project</li> </ul>	<p>Funders of research will:</p> <ul style="list-style-type: none"> <li>• have clear expectations of what constitutes research misconduct</li> <li>• ensure that recipients of funding are aware of requirements regarding the investigation and reporting of research misconduct, and that these are openly stated</li> </ul>

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Concordat Commitment	2019 (current) edition	2012 (previous) edition
	<ul style="list-style-type: none"> <li>• treat all allegations with confidentiality and abide by data protection laws with respect to data management</li> <li>• take appropriate action when research misconduct is reported to them. In the most serious case, this could include funding sanctions or mandatory improvements</li> </ul>	
<p><b>5. Strengthening research integrity</b></p>	<p>Funders of research will:</p> <ul style="list-style-type: none"> <li>• periodically review their policies and grant conditions to ensure that they support good practice in research integrity</li> <li>• periodically review their processes and practices to ensure that these are not providing inappropriate incentives</li> </ul>	<p>Likewise, funders of research will periodically review their policies, grant conditions and processes.</p>



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Since 2006, UKRIO has provided independent, expert and confidential support across all disciplines of research, from the arts and humanities to the life sciences. We cover all research sectors: higher education, the NHS, private sector organisations and charities. No other organisation in the UK has comparable expertise in providing such support in the field of research integrity.

UKRIO welcomes enquiries on any issues relating to the conduct of research, whether promoting good research practice, seeking help with a particular research project, or concerns about alleged fraud and misconduct in research.

## UK Research Integrity Office

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