



Promoting integrity and high ethical standards in research
Providing confidential, independent and expert support

Trustees Report and Financial Statements

Year End 31st July 2022

James Parry

Version No.: 0001

Publication Date: 16/03/2023

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Reference and administrative details of the charity, its Trustees and Advisers

Trustees

- Ian Boyd, Chair
- Sarah Harper, Vice-Chair
- Tracey Brown
- Joanna Dally
- Pierre Espinasse (appointed 19 July 2022)
- Zoë Hammatt (appointed 19 July 2022)
- Simon Kolstoe (appointed 19 July 2022)
- Huw Morris (appointed 19 July 2022)
- Inke Nätke (appointed 19 July 2022)
- Jim Smith (appointed 19 July 2022)
- Michael Standing (resigned June 2022)
- C Marc Taylor (resigned 26 July 2022)
- Omar Qureshi (resigned 26 July 2022)

Chief Executive: James Parry

Company registered number: 07444269

Charity registered number: 1147061

Registered office: Floor 6, No. 1 Croydon 12-16 Addiscombe Road, Croydon, CR0 0XT

Auditors: Plus Accounting, Chartered Accountants, Preston Park House, South Road, Brighton, East Sussex, BN1 6SB

Trustees' report for the Year Ended 31 July 2022

The Trustees of the UK Research Integrity Office Limited (UKRIO) present their report for the year ended 31 July 2022.

The financial statements comply with the Charities Act 2011, the Companies Act 2006, the Memorandum and Articles of Association, and Accounting and Reporting by Charities: Statement of Recommended Practice applicable to charities preparing their accounts in accordance with the Financial Reporting Standard applicable in the UK and Republic of Ireland (FRS 102) (effective 1 January 2019). Advantage has been taken of the exemptions contained therein for smaller charities which are not subject to a statutory audit.

Constitution

The organisation is a charitable company limited by guarantee, incorporated on 18 November 2010 and registered as a charity on 30 April 2012. The company was established under a Memorandum of Association which established the objects and powers of the charitable company and is governed under its Articles of Association.

Method of appointment or election of Trustees

Trustees are elected at the Annual General Meeting for a term of three years, and between meetings may be co-opted by the Board until the next AGM. Trustees are eligible for reappointment for a further term of three years. The charity has the right to reappoint a Trustee for a third and final term of three years in exceptional circumstances. No Trustee shall continue to serve after nine years in office.

All new Trustees have their duties and responsibilities fully explained to them and are given a copy of relevant guidance from the Charity Commission.

Trustees receive no remuneration other than reasonable expenses, the latter mainly for travel purposes when attending in-person meetings of the charity or representing UKRIO at meetings, events and external engagements.

Policies and objectives

Charitable objects

The objects of the charity are:

1. To promote for the public benefit good practice in the governance, management and conduct of medical, scientific and academic research, including the fields of medicine and healthcare, physical sciences, engineering, mathematics and computing, social sciences and social care, law, the arts and humanities, and related disciplines; and
2. To promote for the public benefit high ethical standards in the conduct of such research.

Mission statement

Mission Statement

UKRIO's mission is to:

- **champion the good governance, management and conduct essential for high quality and ethical research**
- **strengthen the research community by improving trust in research**
- **create and share knowledge of best practice and positive research cultures and conduct**
- **give confidential, independent and expert advice and guidance on all forms of research integrity challenges and opportunities as they arise**
- **lead and shape conversations about research integrity in the UK and beyond**

How our activities deliver public benefit

The UK Research Integrity Office is the UK's most experienced research integrity organisation.

A registered charity, we were created in response to longstanding and growing concerns about the reliability of research.

Since 2006, we have provided independent and expert support to help enhance good research practice, address mistakes, questionable practices and fraud, and improve the culture and systems of UK research.

Our work programme spans all disciplines of research, from the arts and humanities to the life sciences, and help all involved in research: researchers, research organisations and members of the public, including patients and research participants.

UKRIO covers all research sectors: higher education, the NHS, private sector organisations and third-sector - wherever the research affects the public good.

UKRIO's vision is that through our activities, the UK research community is supported to produce work of the highest integrity, quality and efficacy.

Extract from [UKRIO Strategy 2022-25](#)

The knowledge generated through research is fundamentally important to society. It is used for making decisions that are crucial for public health, economic development and the general welfare of individuals and society. Significant public funds support research and researchers.

Public trust in research and in researchers is based on the 'professional promise' that research will be honest, objective, accurate, legal, safe, ethical and efficient. To be worthy of the public's trust, research needs to fulfil that promise. This is why UKRIO was established: to support **research integrity**.

What is research integrity?

Research integrity is another name for ‘good research practice’. It is the conduct of research in ways that promote trust and confidence in all aspects of the research process.

Research integrity covers all research and the whole lifecycle, from the initial idea and design of the project through the conduct of the research and its dissemination. It also covers making sure that environments and systems for research safeguard and enhance good research practice, rather than hinder it – often described as ‘**research culture**’.



Graphical representation of research integrity based on the core areas described in The Concordat to Support Research Integrity 2019, created by UKRIO.

Review of activities: who do we help?

UKRIO provides advice and support to individuals and organisations alike: to help safeguard and enhance good research practice, take action to correct errors and misconduct, and inculcate a healthy research culture.

Much of our work involves direct support for the research community, which in turn helps safeguard public trust in research. But as well as supporting researchers and researcher organisations, we also provide advice and guidance direct to members of the public outside of the research community, as well as to policy makers and stakeholder organisations.

Our services are free at the point of delivery for individuals: UKRIO does not place barriers in the way of anyone with questions or concerns about the conduct of research. This approach supports the UK's research community by improving the conduct of research and bringing concerns to the attention of appropriate organisations when they would otherwise remain unaware of them.

Organisations involved in research can choose to subscribe to UKRIO and receive additional, long-term support and services. While this is not a condition of receiving our help, [the number of subscribers to our charity](#) has grown year-on-year, reflecting continued confidence in the value of UKRIO.

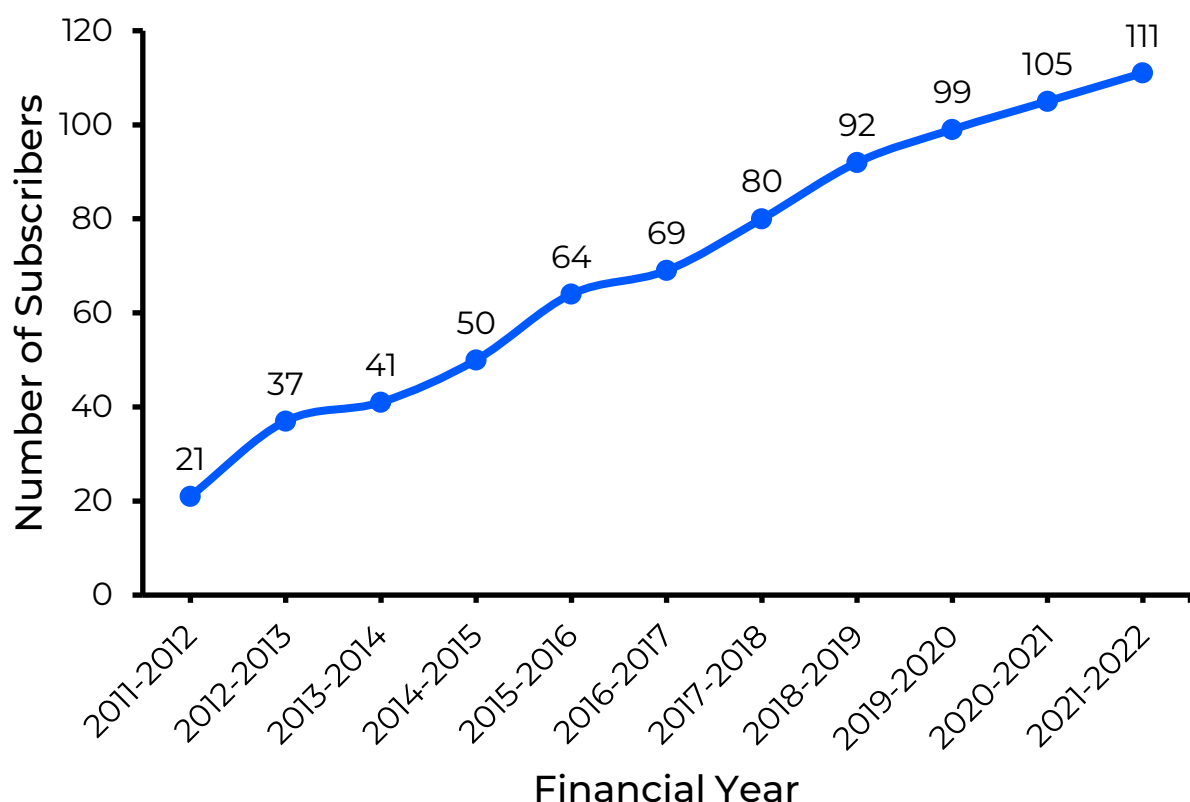


Figure 1: UKRIO subscriber growth 2011-2022

In the period under review, the users of our services came from three groups: members of the public; individuals who conduct academic, scientific or medical research, or who work in related occupations or undertake studies in those fields as research students; and organisations involved in carrying out research or setting research policy, including UKRIO subscriber organisations.

Members of the public who used UKRIO's services included, but were not limited to, participants in research projects and patients. We appreciate that members of the public who need our help can be nervous about seeking advice on their situation or could be enquiring about issues of a serious nature or which are very personal. So we always take care to act with due sensitivity and courtesy at all times when providing advice and guidance.

UKRIO also supported members of the public who work in academic, scientific or medical research. The researchers who used our services came from a wide variety of disciplinary backgrounds and career stages. They included research students, recently qualified professionals, those in charge of research teams, and senior managers or administrators.

We also supported other members of the research community: for example, research governance officers and other specialists in research integrity; chairs and members of research ethics committees; members of professional services/ administrative staff; editors of academic journals and representatives of publishers; and policy makers.

We supported individuals who feared they would suffer detriment if they raised concerns about possible misconduct or breaches of accepted standards. This group included both individuals from the research community and members of the public.

Research organisations that used our services included higher education institutions, charities which conduct research, learned societies, professional bodies, NHS organisations, academic journals and bodies which award public or charitable funds to research.

Review of activities: how did we help?

We carried out our vision to support research integrity in three ways:



Extract from [UKRIO Strategy 2022-25](#)

Education

- **Publications:** A key role of UKRIO is to provide practical guidance on implementing national initiatives and agendas for good research practice. As part of this, in 2021-22 we launched a new edition of our popular [Self-Assessment Tool for the Concordat to Support Research Integrity](#). The Concordat is the UK's national governing document for research integrity and compliance with it is a condition of grants from major research funders. Our updated guidance provides research organisation with practical support on how to embed the requirements of The Concordat in their policies, systems and practices, helping to enhance research integrity and meet contractual and other requirements.

Our charity also shares lessons learned from its unique advisory work and showcases good practice from the research community. As part of this, in 2021-22 we published guidance on setting up networks of [Research Integrity Champions, Leads and Advisers](#) at research organisations – peer support to safeguard and enhance good research practice within an institution. Alongside this we launched [case studies](#) from research organisations on how they had established such networks and other supporting material.

- **Training:** To support and enhance good research practice, our charity regularly delivers training and development activities for the research community. Our insightful sessions share knowledge and experiences from UKRIO's unique role as the UK's most experienced research integrity body, delivered by expert trainers.

In the period under review, we delivered training and development for researchers at 17 research organisations. Topics included:

- Introductory courses about good research practice
 - Sessions on supporting and enhancing a healthy research culture.
 - Awareness-raising talks on research integrity as part of organisational development activities or research conferences
 - Training focussing on particular aspects of good research practice, such as research ethics; publication ethics and authorship; or the investigation of allegations of research misconduct.
- **Events:** UKRIO provides a programme of online events to inform and support good research practice. Our webinars and annual conference are free and open to all, a decision we made to ensure equality of participation and share our insights to as wide an audience as possible.

Annual conference: Our charity has been holding annual research integrity conferences since 2013 and they are the premier UK research integrity events. Experts on research integrity discuss how to support a culture of high quality and ethical research, how to respond to challenges facing the research community, and update delegates on new developments in the sector. Delegates have the opportunity to update their knowledge, discuss the issues that matter to them, and make new connections.

The theme of our **May 2022 annual conference** was ‘*Good research practice: culture, environment and sustainability*’. Speakers from across the research community came together to discuss key topics in research integrity such as, how do we make sure research is high quality and of high ethical standards during these challenging times? How can we ensure rigour and reproducibility, adapt to new ways of working, reduce waste in research, and respond to the wider issues facing society?

Sir Patrick Vallance, Government Chief Scientific Adviser gave a keynote address, sharing his perspective on good research practice. Other keynote speakers were: Dr Elisabeth Bik, winner of the 2021 John Maddox Prize; Professor Astrid Eichhorn, chair of the ALLEA Working Group *Climate Sustainability in the Academic System*; and Professor James Wilsdon, Director, Research on Research Institute (RoRI). Our conference also showcased international developments in research integrity and gave a voice to early-career researchers.

Over 1,000 delegates registered for our 2022 annual conference, an increase from 2021 (our first online conference). We look forward to welcoming new and returning delegates to our May 2023 conference.

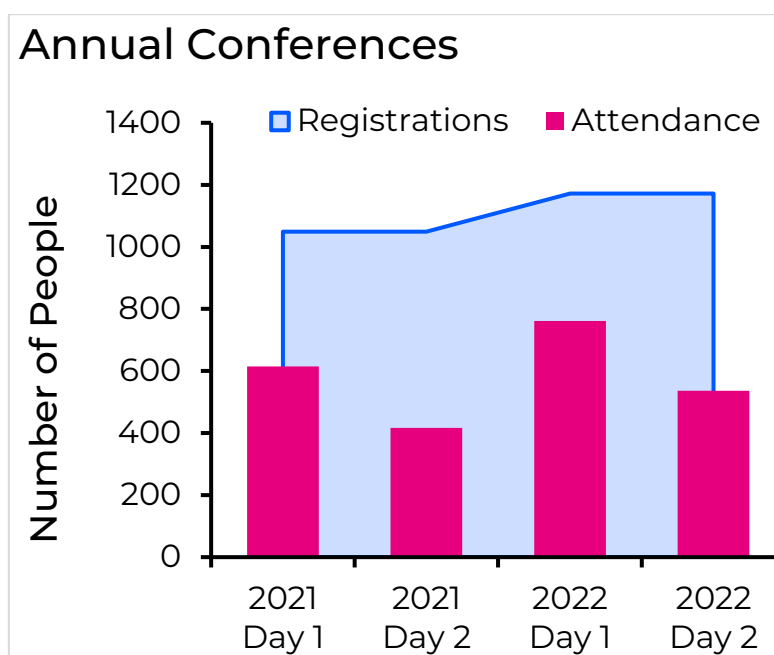


Figure 2: attendance and registrations at UKRIO virtual annual conferences

Webinars: UKRIO has been holding regular research integrity webinars since 2020 and we continued to build on the success of these free events during 2021-22. Expert speakers and representatives of UKRIO explored a variety of topics, from key aspects of the research process to how to ensure representation and diverse perspectives in research:

- [Alternative Methods of Publishing – November 2021](#)
- [An Introduction to Research Integrity – December 2021](#)
- [Research Integrity in Practice Research – February 2022](#)
- [Equality, Diversity & Inclusion in the Research Environment – April 2022](#)

Our webinars continued to be popular, regularly attracting registrations of over 400 delegates and receiving extremely positive feedback.

Sharing best practice

- **Informing national initiatives:** UKRIO continued its extensive contribution to national discussions on research integrity and the development of initiatives to support and sustain good research practice. We used our unique experience, expertise and data to inform these processes, to help ensure the promotion of high-quality and ethical research, and a healthy research culture.

A key development in the UK research integrity landscape was an enquiry by **the House of Commons Science and Technology Committee** into reproducibility and research integrity. Previous Parliamentary enquiries on research integrity have reshaped the UK's approach to this important issue and UKRIO was again invited to give evidence to this Committee.

In February 2022, **James Parry, our Chief Executive**, set out our charity's perspective on the state of research integrity in the UK. We look forward to the recommendations of this enquiry, which will inform national policy on research integrity and the future activities of our charity.

"It is important that the picture [of UK research integrity] reflects not just the realities of research misconduct cases, which are important to track, but the more common and more insidious problems of avoidable human errors, mistakes and perverse incentives within the system."

James Parry, Chief Executive, UKRIO giving evidence to the House of Commons Science & Technology Committee, February 2022

Our charity continued its work supporting important UK initiatives such as **The Concordat to Support Research Integrity**. We continued to work closely with the Concordat Signatories Group, helping to improve compliance with the UK's national governing document for research integrity and inform the work of its governing body.

During this period, UKRIO began working closely with the new **UK Committee on Research Integrity**, a body established by UK Research and Innovation for three years. UKRIO advised on the creation of UKCORI and we look forward to collaborating with it to help enhance research integrity in the UK, passing on lessons learned since our inception in 2006.

- **Informing international initiatives:** research integrity is a global issue and accordingly UKRIO participates in a variety of international discussions and initiatives to support good research practice. We continued our membership of the European Network of Research Integrity Offices (ENRIO), which we helped set up, sharing lessons learned from our work in the UK and drawing on the considerable expertise of ENRIO's member organisations.

We have also shared good practice in research integrity from other countries, by showcasing speakers from outside the UK at our various free online events. Recognising the importance of participating in global conversations about research integrity and learning from diverse perspectives, UKRIO attended the 7th World Conference on Research Integrity in Cape Town, South Africa, in May and June 2022.

- **Improving research culture:** UKRIO provides advice and guidance not only on good practice relating to individual research projects, but also on wider issues in research: how environments and systems for research can safeguard and enhance good research practice, rather than hinder it.

A key theme running through all of work in 2021-22 was addressing these challenges of '**research culture**' – looking at systemic issues within the research community and, through activities such as our publications, our training and development work, our events programme, our advisory service

and our policy work, providing the research community and policy makers with advice and support on how to effect change at local and wider levels. This included contributing to national and international discussions on research integrity, such as with the House of Commons Science and Technology Committee, or providing the research community with [practical tools](#) and [examples of best practice](#).

Expert guidance

- **Advisory service** UKRIO provides independent, expert and confidential advice on the conduct of research, whether promoting good practice or addressing alleged poor practice and misconduct. Our aim is to encourage researchers, their institutions and related bodies to think more deeply, across all disciplines, about wider organisational and ethical issues underpinning the practice of research.

We are the only organisation in the UK to provide this type of support for research integrity. Our unique Advisory Service is free of charge and open to members of the public and the research community, including students, researchers and representatives of research organisations. Our charity covers all subject areas and gives advice on general issues as well as specific questions, research projects and cases.

A breakdown of the 93 formal requests for advice received during 2021-22 is given in Figures 3-6, below.

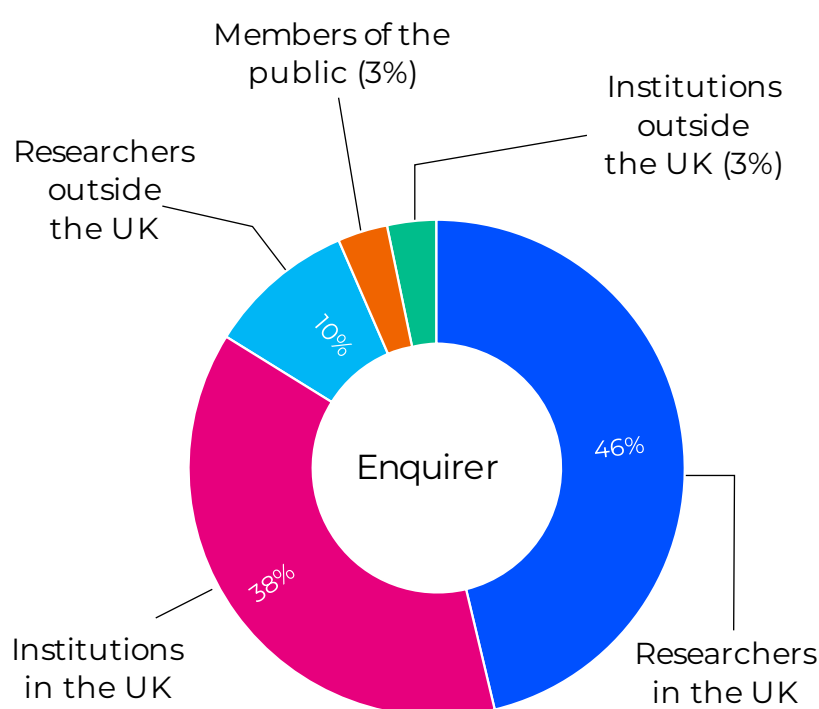


Figure 3: formal requests for assistance 2021-22 – type of enquirer (n=93)

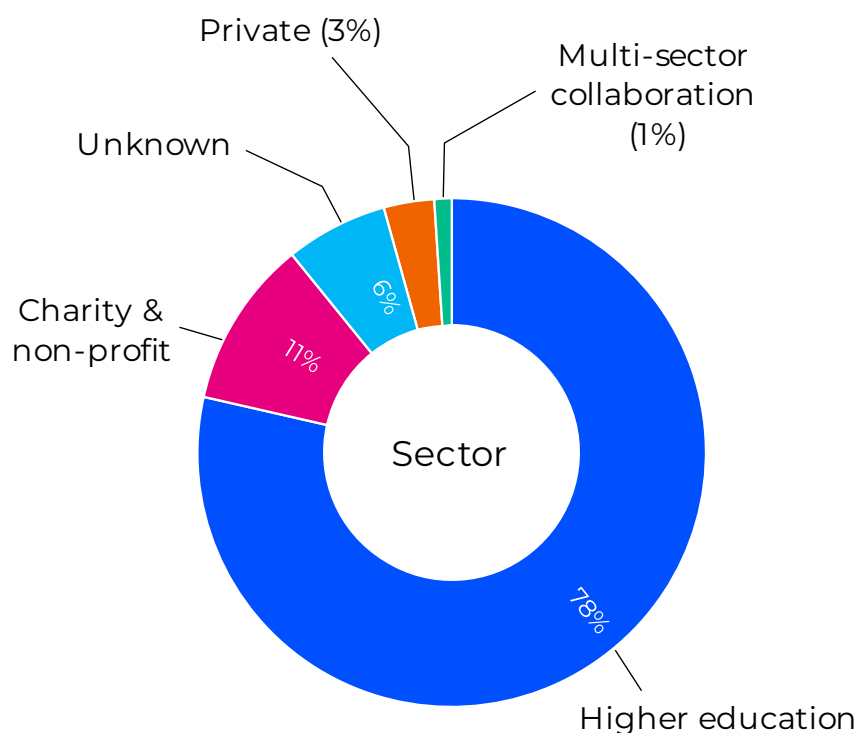


Figure 4: formal requests for assistance 2021-22 – research sector (n=93)

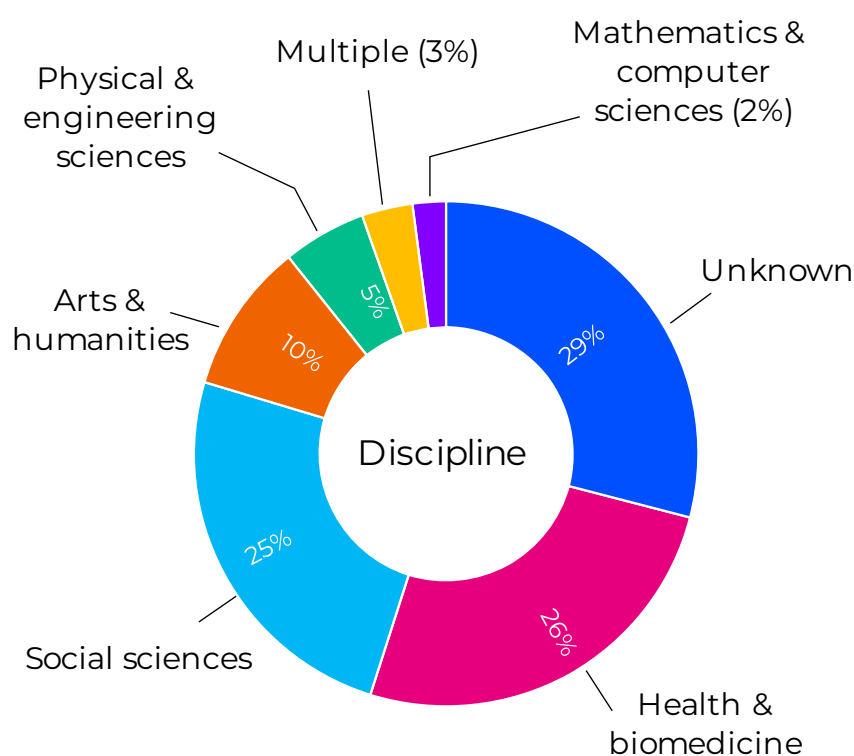


Figure 5: formal requests for assistance 2021-22 – research discipline (n=93)

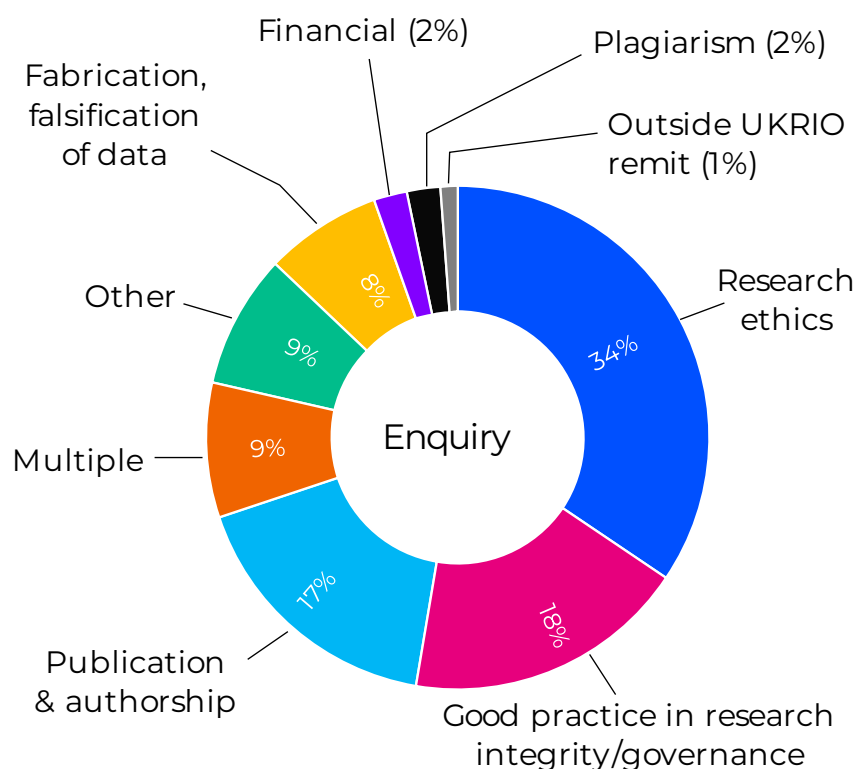


Figure 6: formal requests for assistance 2021-22 – main area of concern (n=93)

- **Proactive support:** a key part of our charity's work is providing in-depth and long-term support to help research organisations improve their policies, systems, practices and research culture.

During the period under review, we provided support to our 111 subscriber institutions, responding to enquiries about good research practice from the level of individual research projects or particular problems, to institutional-wide support for policies and initiatives.

We also worked extensively with a wide variety of community groups with interests in good research practice, helping and advising grassroots and peer-led support for high-quality and ethical research.

Financial review

In the period 1 August 2021 – 31 July 2022 UKRIO continued to attract and register new subscriber institutions, its principal source of income, despite the difficult financial conditions created by the ongoing COVID-19 pandemic. By the end of July 2022, 111 research organisations were subscribers to UKRIO, an increase of six since the end of July 2021 (see **Figure 1**, above). The majority of ‘research intensive’ universities in the UK, those with the highest proportion of research activity and research income, now subscribe to UKRIO.

During the 12-month period to 31 July 2022 UKRIO recorded £277,484 (2021: £247,079) of incoming resources, £271,834 (2021: £245,626) of which was subscriptions income. During this period there was resources expended of £257,876 (2021: £264,759) which results in a surplus of £19,608 (2021: deficit of £17,680) for the period. With an opening funds balance of £388,559 (2021: £406,239) at 1 August 2021, the closing funds balance is £408,167 (2021: £388,559) at the balance sheet date. This performance is as expected for the period.

Funds accrued by the charity will be expended in pursuit of its charitable objectives, save for a small strategic reserve (see ‘Reserves Policy’, below).

In order to support the increase in demand for the charity’s services and to further develop UKRIO’s work programme the number of staff were increased during the period under review from 5 to 7 members of staff. Due to the timeline of recruitment, this led to variation of salary costs from 147,662 in Year Ending July 2021 to 140,086 in Year Ending July 2022.

Investment policy and performance

Aside from retaining a prudent amount in reserves each year most of the charity’s funds are to be spent in the short term. Accordingly, at present there are no funds for long term investment. When circumstances change, UKRIO will develop and implement an appropriate and ethical investment policy.

Reserves policy

It has been agreed it is appropriate for UKRIO to maintain strategic reserves sufficient to support unavoidable operating costs of UKRIO (primarily staff salaries and office accommodation) for a period of between 3 and 6 months. The strategic reserve must consist of unrestricted funds.

Future activities

Our charity's vision is that through our activities, the UK research community is supported to produce work of the highest integrity, quality and efficacy.

UKRIO will continue its existing programme of work to support our beneficiaries: the public, the research community and our subscriber institutions. We will develop and introduce new services to support and enhance good research practice. Amongst those planned for the next 12 months are:

- Continue implementation of our [2022-25 strategy](#).
- Continue to adjust the work programme to reflect the changing priorities of the charity's beneficiaries, to ensure that services remain relevant to their needs.
- An increased programme of communications and outreach.
- Share best practice within the research community by facilitating discussions about key issues, informing national and international initiatives, and working to improve research culture.
- Launch an online training course for research integrity in partnership with a UK research organisation.
- Maintain good relationships between UKRIO subscribers and the charity, while also raising awareness of the functions and objectives of UKRIO with a wider audience.
- Strengthening existing relationships with related organisations such as the UK Committee on Research Integrity, UK Research and Innovation, the Concordat Signatories Group, the European Network of Research Integrity Organisations, and developing links with other key stakeholders.

Structure, governance and management

Governing document

The charity is controlled by its governing document, a deed of trust, and constitutes a limited company, limited by guarantee, as defined by the Companies Act 2006.

Organisational structure and decision making

UKRIO consists of four elements:

- **The Board of Trustees** directs and oversees the strategy and programme of work of UKRIO. It also has responsibility for matters of organisational administration and the management of the office staff. The Trustees are also directors of the limited company.
- **The Advisory Council** supports the UKRIO Trustees and staff, providing advice and additional perspectives to inform and support our projects, strategy and operations. Formal decisions are taken by the Board of Trustees, since the Advisory Council has no formal authority over the charity, but are made after advice from the Advisory Council.

The Advisory Council includes members from the research community as well as independent members. Collectively the Advisory Council possesses significant expertise in the promotion of research integrity and in addressing poor practice and misconduct. Its members sit as individuals, not on behalf of any other organisation, and hold no legal responsibility for UKRIO: they are neither trustees of the charity nor directors of the limited company.

- **The Advisory Community** provides an expert resource of volunteers which UKRIO draws upon when responding to enquiries on issues of research conduct. Advisers may be researchers, from any academic discipline, or be active in related occupations. Recognising their broad experience in research matters, Advisers also give feedback on the wider work of UKRIO on request and are given the opportunity to contribute to other elements of the programme of work. Advisers hold no legal responsibility for the organisation.
- **The Office team** carries out UKRIO's programme of work to support high quality and ethical standards in UK academic, scientific and medical research. It provides administrative, policy, research and technical support to the Trustees and Advisory Council, as well as liaising with the many organisations that subscribe to UKRIO. It also co-ordinates the volunteer experts who support the work of the charity, as part of UKRIO's Advisory Community.

The Trustees, members of the Advisory Council and Advisory Community members are not employees of UKRIO and give their time to the organisation *pro bono*. Appropriate insurances have been procured to cover Trustees, members of the Advisory Council and members of the Advisory Community acting on behalf of UKRIO.

Staffing: During the period under review, the staff complement of the charity was as follows: 1 x Chief Executive; 1 x Operations Manager; 1 x Senior Research Integrity Manager (part-time), 1x Communications & Information Officer (part-time; left during the period under review); and 3 x Research Integrity Managers, 2x part-time (one joined May 2022) and 1x full-time (joined July 2022).

Risk management

The Trustees of UKRIO have a responsibility for the management of risks. A review of the major risks to the work of UKRIO has been undertaken through which the risks have been identified, reviewed and processes put in place to mitigate and manage the risks. The Trustees acknowledge that risk management is not a one-off event but is an integral part of the operation of the charity. All Trustees, staff and volunteers have a role to play in the process of identifying and managing risks.

COVID-19 pandemic: Given the ongoing impact of COVID-19 during the period under review, UKRIO continued to follow relevant advice from the UK Government, the UK Health Security Agency and related bodies when responding to the pandemic and related issues. At all times, the charity was mindful of the health and wellbeing of our staff, volunteers and service users, as well as the legal and ethical responsibilities of the charity.

The principal risks to UKRIO and its programme of work, and their mitigation, are as follows:

- **Litigation arising from advice, guidance or recommendations provided by UKRIO regarding the conduct of research:** full insurance cover for professional indemnity is provided at UKRIO's expense for the staff of UKRIO and for volunteers (including the Trustees, members of the Advisory Council and members of the Advisory Community) acting on behalf of UKRIO.

The risk is graded as low-medium given that UKRIO:

- Does not have a role in investigating alleged research misconduct, overseeing such investigations or otherwise adjudicating on allegations of misconduct.
- Does not impose sanctions on those against whom such allegations are upheld or other who might be regarded as having breached its recommended guidance.
- Does not act as an advocate for those seeking its advice or act as a mediator
- Is not a centre for legal advice.
- The role and remit of UKRIO is explained to anyone seeking advice from the charity; for example, via emails acknowledging requests for assistance and the enquiry submission form on UKRIO's website (<http://www.ukrio.org/get-advice-from-ukrio/>). Service users are also

provided with information on UKRIO's approach to personal data and other confidential information.

- **Reputational risk arising from person(s) or organisation(s) being dissatisfied with advice, guidance or recommendations provided by UKRIO regarding the conduct of research:**

The risk is graded as medium; however, UKRIO takes ongoing action to mitigate against it, for example:

- Ensuring that advice, guidance and recommendations from UKRIO are of a high quality and informed by multiple perspectives.
- UKRIO does not have a role in investigating alleged research misconduct, overseeing such investigations or otherwise adjudicating on allegations of misconduct.
- UKRIO does not impose sanctions on those against whom such allegations are upheld or other who might be regarded as having breached its recommended guidance.
- UKRIO does not act as an advocate for those seeking its advice or act as a mediator.
- UKRIO is not a centre for legal advice.
- The role and remit of UKRIO is explained to anyone seeking advice from the charity; for example, via emails acknowledging requests for assistance and the enquiry submission form on UKRIO's website (<http://www.ukrio.org/get-advice-from-ukrio/>).
- UKRIO reserves the right to disclose details of its advice and correspondence if that advice/ correspondence is later misrepresented by the person(s) or organisation(s) who received it. This is explained to anyone seeking advice from the charity; for example, via emails acknowledging requests for assistance and the enquiry submission form on UKRIO's website (<http://www.ukrio.org/get-advice-from-ukrio/>).

- **Reputational risk arising from negative publicity concerning UKRIO staff or volunteers, or concerning comments made by them:**

The risk is graded as medium; however, UKRIO takes ongoing action to mitigate against it, for example:

- UKRIO's staff and volunteers (including the Trustees, members of the Advisory Council and members of the Advisory Community) are expected to carry out any activities on behalf of the charity in a professional manner and with integrity. This is set out in the various codes of conduct which apply to these persons, e.g. employment contracts, the Code of Conduct for members of the Advisory Community and the charity's Protocol for Responding to Requests for Assistance (<https://ukrio.org/wp-content/uploads/UKRIO-Code-of-Conduct-for-UKRIO-Advisers-Revised-July-2022.pdf>). It includes declaring actual or perceived competing interests, with procedures for addressing actual or perceived competing interests set out in the

charity's internal protocols (e.g., Code of Conduct for members of the Advisory Community and the Protocol for Responding to Requests for Assistance. (<https://ukrio.org/wp-content/uploads/UKRIO-Protocol-for-responding-to-requests-for-assistance-July-2022.pdf>)).

- All public statements made by UKRIO, including responses to media enquiries etc., are issued from the charity's office rather than on an ad hoc basis by individual members of staff or volunteers.
- UKRIO applies the following confidentiality provisions to those seeking its advice. This is explained to anyone seeking advice from the charity; for example, via emails acknowledging requests for assistance and the enquiry submission form on UKRIO's website (<http://www.ukrio.org/get-advice-from-ukrio/>):

"UKRIO will keep a confidential record of any requests for assistance and all subsequent discussions. No other parties will be informed without your consent, unless clear evidence of criminal activity has been presented, there is an immediate need to involve others to prevent further risk or harm to people, animals or the environment, or we are otherwise under a legal obligation to do so. We also reserve the right to disclose details of our advice and correspondence if that advice is later misrepresented by you."

- The charity's Privacy Policy can be viewed at <http://ukrio.org/privacy-and-cookies/> (with a PDF version also available) and its Confidentiality Policy at <http://ukrio.org/confidentiality-policy/> (PDF version also available).

- **Reputational risk arising from wider criticism regarding research integrity in the UK, the UK research community or research integrity on a global scale:**

The risk is graded as medium; however, UKRIO takes ongoing action to mitigate against it, for example:

- UKRIO has publicly stated, since its inception, that it does not believe there is any room for complacency or a 'job done' attitude regarding the integrity and ethical standards of research, whether in the UK or internationally. This is inherent in our vision and values, our programme of work, and our many public statements on research integrity. Accordingly, the charity is well-placed to respond to wider criticism regarding research integrity in the UK, the UK research community or research integrity on a global scale.

- **Loss of subscription income:**

UKRIO regularly reviews subscription income to ensure it is providing value for subscribers, that subscriptions are in line with expectations of research organisations and that any changes ensure broadly the same income year on year. This policy is carried out by the Chief Executive working with the Chair and the other Trustees.

- **Loss of data:**

- Data relating to UKRIO's business and financial affairs, and to its programme of work are retained at the UKRIO office in the form of hard copy documents and computer files, and on a secure cloud data storage system. The UKRIO office is lockable, has an alarm system, and is located in an office building (No. 1 Croydon) with good security (lockable, alarm systems, access via key card, staffed reception desk during business hours and security patrols outside of business hours). Human resources and financial records are held off-site in the Sussex Innovation Centre (SINC) with good security (lockable, alarm systems, access via key card, staffed reception desk during business hours and external security patrols outside of business hours).
- Hard copy documents are kept in locked cabinets.
- Computer files: all UKRIO-owned desktop computers, laptop computers and portable memory devices are encrypted and require a password to decrypt the contents. UKRIO-owned computers are further password-protected, with each user given a unique password. Users are allowed access to folders and files which are relevant to their work and are given 'administrator' rights only when required by their duties. Files which contain information deemed to be particularly sensitive are password-protected; those relating to UKRIO's Advisory Service are anonymised wherever possible.
- Cloud storage systems are provided by reputable providers, meeting industry standards for security, encryption and backing up of data. Access to the cloud storage is password-protected, with each user given a unique password. Backed-up data is held securely off-site and in encrypted form.
- Human resources, payroll and accounts payable information: these functions are carried out on behalf of UKRIO by staff of SINC. Information relating to these functions is held in the SINC office in the form of hard copy documents and computer files, and to a similar standard as above.

Accordingly, the risk of loss of irrecoverable data is regarded as low-to-medium.

- **Health and safety:**

UKRIO has established policies and processes to ensure sufficient control of the health and safety risks arising from the charity's work. UKRIO is a small, office-based organisation. Staff activities relate to office work and do not include manual work, handling of hazardous substances or operation of plant/equipment. Health and safety policies and processes are reviewed periodically and appropriate instruction given to staff and any others who may work in the office. Accordingly, risk relating to health and safety is regarded as low.

- **Data protection:**

UKRIO offers confidential advice on potentially contentious issues. Accordingly, it has a clear policy on data protection and confidentiality, and it reviews its record-keeping processes regularly.

UKRIO explains to service users through a variety of means - such as the contact forms on our website - how it handles personal data and other confidential information. Service users are also provided with information on our role and remit. UKRIO revised its data protection processes and policies in light of the introduction of the General Data Protection Regulation in May 2018.

The charity's Privacy Policy can be viewed at <http://ukrio.org/privacy-and-cookies/> (with a PDF version also available) and its Confidentiality Policy at <http://ukrio.org/confidentiality-policy/> (PDF version also available).

UKRIO is registered with the Information Commissioner's Office in accordance with the Data Protection Act and complies with the requirements of GDPR.

- **Physical assets:**

UKRIO has no significant physical assets.

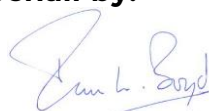
- **Funding policy:**

UKRIO developed a funding policy, available on our website at <https://ukrio.org/about-us/our-funding/>, to ensure that external funding cannot divert UKRIO from its agreed aims and values. Donations to UKRIO do not entitle any individual or organisation to decision-making authority. No individual funding source should be of a magnitude that would allow the donor to exercise control or compromise in any significant way the independence of UKRIO.

Accordingly, UKRIO's funders do not determine who we help or how we help them. UKRIO does not share confidential information on its work - for example, who has sought our advice, what their concerns were or how we assisted them - with the organisations that support us.

Given that whether organisations should accept funding from the pharmaceutical industry has been the subject of public debate, UKRIO also published a statement setting out its position on this matter: <https://ukrio.org/about-us/our-funding/pharmaceutical-funding/>.

Approved by order of the Board of Trustees on 21 March 2023 and signed on its behalf by:



.....

I L Boyd - Trustee

Independent examiner's report to the Trustees of UK Research Integrity Office Ltd

Independent examiner's report to the trustees of UK Research Integrity Office Ltd ('the Company')

I report to the charity trustees on my examination of the accounts of the Company for the year ended 31 July 2022.

Responsibilities and basis of report

As the charity's trustees of the Company (and also its directors for the purposes of company law) you are responsible for the preparation of the accounts in accordance with the requirements of the Companies Act 2006 ('the 2006 Act').

Having satisfied myself that the accounts of the Company are not required to be audited under Part 16 of the 2006 Act and are eligible for independent examination, I report in respect of my examination of your charity's accounts as carried out under Section 145 of the Charities Act 2011 ('the 2011 Act'). In carrying out my examination I have followed the Directions given by the Charity Commission under Section 145(5) (b) of the 2011 Act.

Independent examiner's statement

Since your charity's gross income exceeded £250,000 your examiner must be a member of a listed body. I can confirm that I am qualified to undertake the examination because I am a registered member of FCA which is one of the listed bodies.


I have completed my examination. I confirm that no matters have come to my attention in connection with the examination giving me cause to believe:

1. accounting records were not kept in respect of the Company as required by Section 386 of the 2006 Act; or
2. the accounts do not accord with those records; or
3. the accounts do not comply with the accounting requirements of Section 396 of the 2006 Act other than any requirement that the accounts give a true and fair view which is not a matter considered as part of an independent examination; or
4. the accounts have not been prepared in accordance with the methods and principles of the Statement of Recommended Practice for accounting and reporting by charities (applicable to charities preparing their accounts in accordance with the Financial Reporting Standard applicable in the UK and Republic of Ireland (FRS 102)).

I have no concerns and have come across no other matters in connection with the examination to which attention should be drawn in this report in order to enable a proper understanding of the accounts to be reached.

Mr C Morey

FCA



Plus Accounting Chartered Accountants

Preston Park House, South Road

Brighton

East Sussex BN1 6SB

Date: 5 April 2023

Statement of financial activities for the year ended 31 July 2022

	Notes	2022 unrestricted fund £	2021 Total funds £
INCOME AND ENDOWMENTS FROM:			
Charitable activities		271,834	245,626
Other trading activities	2	5,650	1,451
Investment income	3	-	2
Total		277,484	247,079
EXPENDITURE ON:			
Charitable activities		226,302	232,066
Other		31,574	32,693
Total		257,876	264,759
NET INCOME / (EXPENDITURE)		19,608	(17,680)
RECONCILIATION OF FUNDS			
Total funds brought forward		388,559	406,239
TOTAL FUNDS CARRIED FORWARD		408,167	388,559

The notes form part of these financial statements

Balance sheet 31 July 2022

	Notes	2022 unrestricted fund £	2021 Total funds £
FIXED ASSETS			
Tangible assets	8	4,400	3,466
CURRENT ASSETS			
Debtors	9	308,857	15,782
Cash at bank		411,252	395,921
		720,109	411,703
CREDITORS			
Amounts falling due within current year	10	(316,342)	(26,610)
NET CURRENT ASSETS		403,767	385,093
TOTAL ASSETS LESS CURRENT LIABILITIES		408,167	388,559
NET ASSETS		408,167	388,559
FUNDS			
Unrestricted funds	11	408,167	388,559
TOTAL FUNDS		408,167	388,559

The charitable company is entitled to exemption from audit under Section 477 of the Companies Act 2006 for the year ended 31 July 2022.

The members have not required the company to obtain an audit of its financial statements for the year ended 31 July 2022 in accordance with Section 476 of the Companies Act 2006.

The trustees acknowledge their responsibilities for

- ensuring that the charitable company keeps accounting records that comply with Sections 386 and 387 of the Companies Act 2006 and
- preparing financial statements which give a true and fair view of the state of affairs of the charitable company as at the end of each financial year and of its surplus or deficit for each financial year in accordance with the requirements of Sections 394 and 395 and which otherwise comply with the requirements of the Companies Act 2006 relating to financial statements, so far as applicable to the charitable company.

The notes form part of these financial statements

These financial statements have been prepared in accordance with the provisions applicable to charitable companies subject to the small companies regime.

The financial statements were approved by the Board of Trustees and authorised for issue on 21 March 2023 and were signed on its behalf by:



.....
I L Boyd - Trustee

The notes form part of these financial statements

Notes to the financial statements for the year ended 31 July 2022

1. ACCOUNTING POLICIES

Basis of preparing the financial statements

The financial statements have been prepared under the historical cost convention and in accordance with the provisions applicable to small companies subject to the small companies regime and in accordance with FRS102 SORP.

Company status

The charity is a company limited by guarantee. The members of the company are the Trustees named on page 1. In the event of the charity being wound up, the liability in respect of the guarantee is limited to £1 per member of the charity.

Income

All incoming resources are included in the Statement of financial activities when the charity has entitlement to the funds, certainty of receipt and the amount can be measured with sufficient reliability.

Income for the sale of subscriptions is recognised as the subscription progresses. Revenue received in advance is included in creditors.

Expenditure

All expenditure is accounted for on an accruals basis and has been included under expense categories that aggregate all costs for allocation to activities. Where costs cannot be directly attributed to particular activities they have been allocated on a basis consistent with the use of the resources.

Governance costs

The trustees have assessed the usage of expenditure and consider 10% to be an appropriate proportion to include as other governance costs. For 2022 other governance costs total £25,143 (2021: £25,784).

Governance costs also includes accountancy and bookkeeping which are deemed to be 100% governance costs. These costs total £6,431 for 2022 (2021: £6,909).

Tangible fixed assets

Tangible fixed assets are stated at cost less depreciation. Depreciation is provided at rates calculated to write off the cost of fixed assets, less their estimated residual value, over their expected useful lives on the following bases:

- Office equipment - 3 years straight line

Fund accounting

General funds are unrestricted funds which are available for use at the discretion of the Trustees in furtherance of the general objectives of the charity and which have not been designated for other purposes.

Investment income, gains and losses are allocated to the appropriate fund.

Notes to the financial statements – continued for the year ended 31 July 2022

2. OTHER TRADING ACTIVITIES

	2022 £	2021 £
Training and development workshops	5,650	1,451

3. INVESTMENT INCOME

	2022 £	2021 £
Deposit account interest	-	2

4. NET INCOME/(EXPENDITURE)

Net income/(expenditure) is stated after charging/(crediting):

	2022 £	2021 £
Depreciation - owned assets	2,222	1,979

5. TRUSTEES' REMUNERATION AND BENEFITS

There were no trustees' remuneration or other benefits for the year ended 31 July 2022 nor for the year ended 31 July 2021.

Trustees' expenses

There were no trustees' expenses paid for the year ended 31 July 2022 nor for the year ended 31 July 2021.

6. STAFF COSTS

The average monthly number of employees during the year was as follows:

	2022	2021
Operations	5	6

No employees received emoluments in excess of £60,000.

Notes to the financial statements – continued for the year ended 31 July 2022

7. COMPARATIVES FOR THE STATEMENT OF FINANCIAL ACTIVITIES

	2021 Total funds £
INCOME AND ENDOWMENTS FROM:	
Charitable activities	245,626
Other trading activities	1,451
Investment income	2
Total	247,079
EXPENDITURE ON:	
Charitable activities	232,066
Other	32,693
Total	264,759
NET INCOME / (EXPENDITURE)	(17,680)
RECONCILIATION OF FUNDS	
Total funds brought forward	406,239
TOTAL FUNDS CARRIED FORWARD	388,559

Notes to the financial statements – continued for the year ended 31 July 2022

8. TANGIBLE FIXED ASSETS

	Office equipment £
COST	
At 1 August 2021	8,367
Additions	3,156
At 31 July 2022	11,523
DEPRECIATION	
At 1 August 2021	4,901
Charge for year	2,222
At 31 July 2022	7,123
NET BOOK VALUE	
At 31 July 2022	4,400
At 31 July 2021	3,466

9. DEBTORS: AMOUNTS FALLING DUE WITHIN ONE YEAR

	2022 £	2021 £
Trade debtors	304,400	-
Prepayments and accrued income	4,457	15,782
	308,857	15,782

10. CREDITORS: AMOUNTS FALLING DUE WITHIN ONE YEAR

	2022 £	2021 £
Trade creditors	330	6,650
Social security and other taxes	3,144	3,830
Other creditors	4,627	124
Pension creditor	1,426	16
Accruals and deferred income	304,700	14,250
Accrued expenses	2,115	1,740
	316,342	26,610

Notes to the financial statements – continued for the year ended 31 July 2022

11. MOVEMENT IN FUNDS

	At 1.8.21 £	Net movement in funds £	At 31.7.22 £
Unrestricted funds			
General funds	388,559	19,608	408,167
TOTAL FUNDS	388,559	19,608	408,167

Net movement in funds, included in the above are as follows;

	Incoming resources £	Resources expended £	Movement in funds £
Unrestricted funds			
General funds	277,484	(257,876)	19,608
TOTAL FUNDS	277,484	(257,876)	19,608

Comparatives for movement in funds

	At 1.8.20 £	Net movement in funds £	At 31.7.21 £
Unrestricted funds			
General funds	406,239	(17,680)	388,559
TOTAL FUNDS	406,239	(17,680)	388,559

Net movement in funds, included in the above are as follows;

	Incoming resources £	Resources expended £	Movement in funds £
Unrestricted funds			
General funds	247,079	(264,759)	(17,680)
TOTAL FUNDS	247,079	(264,759)	(17,680)

Notes to the financial statements – continued for the year ended 31 July 2022

11. MOVEMENT IN FUNDS – continued

A current year 12 months and prior year 12 months combined position is as follows:

	At 1.8.20 £	Net movement in funds £	At 31.7.22 £
Unrestricted funds			
General funds	406,239	1,928	408,167
TOTAL FUNDS	406,239	1,928	408,167

A current year 12 months and prior year 12 months combined net movement in funds, included in the above are as follows:

	Incoming resources £	Resources expended £	Movement in funds £
Unrestricted funds			
General funds	524,563	(522,635)	1,928
TOTAL FUNDS	524,563	(522,635)	1,928

12. RELATED PARTY DISCLOSURES

There were no related party transactions for the year ended 31 July 2022.

Detailed statement of financial activities for the year ended 31 July 2022

	2022 £	2021 £
INCOME AND ENDOWMENTS		
Other trading activities		
Training and development workshops	5,650	1,451
Investment income		
Deposit account interest	-	2
Charitable activities		
Subscriptions	271,834	245,626
Total incoming resources	277,484	247,079

This page does not form part of the statutory financial statements

Detailed statement of financial activities for the year ended 31 July 2022 - continued

	2022 £	2021 £
EXPENDITURE		
Charitable activities		
Wages	126,750	130,138
Social security	5,135	8,801
Pensions	8,201	8,723
Insurance	4,975	3,712
Telephone	336	324
Postage and stationery	761	104
Advertising	8,882	2,516
Sundries	17	12
Computer & internet expenses	5,611	9,190
HR expenses	9,825	-
Subscriptions	4,658	815
Rent	22,830	21,994
Bank charges	105	101
Travel & subsistence	715	-
Conference and speaker fees	3,834	3,962
Meeting expenses	119	-
Training	10,805	8,505
Bad debts	(8,985)	20,413
Legal & professional fees	19,459	10,834
Cleaning	-	82
Entertaining	27	58
Motor expenses	243	-
Depreciation of tangible fixed assets	1,999	1,782
	226,302	232,066
Support costs		
Governance costs		
Other governance costs	25,143	25,784
Accountancy and bookkeeping	6,431	6,909
	31,574	32,693
Total resources expended	257,876	264,759
NET INCOME / (EXPENDITURE)	19,608	(17,680)

This page does not form part of the statutory financial statements



RESEARCH INTEGRITY OFFICE

Promoting integrity and high ethical standards in research
Providing confidential, independent and expert support

The UK Research Integrity Office (UKRIO) is an independent charity, offering support to the public, researchers and organisations to further good practice in academic, scientific and medical research. We pursue these aims through a multi-faceted approach:

- Education via our guidance publications on research practice, training activities and comprehensive events programme.
- Sharing best practice within the community by facilitating discussions about key issues, informing national and international initiatives, and working to improve research culture.
- Giving confidential expert guidance in response to requests for assistance.

Established in 2006, UKRIO is the UK's most experienced research integrity organisation and provides 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, responding to allegations of fraud and misconduct, or improving research culture and systems.

UK Research Integrity Office

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