Overview of process for the investigation/response into allegations of Research Misconduct

**INDICATIVE TIMELINE**

<table>
<thead>
<tr>
<th>Unresolved/inappropriate</th>
<th>INFORMAL RESOLUTION (Concern raised with HoD/LM)</th>
<th>Resolved</th>
</tr>
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</table>

**INITIAL ACTIONS**

- E.g. Notifies respondents primary ER, if appropriate
- Check if we have any obligations to others such as external sponsors/funders/ regulators (if so also ensure PVC for RI advised of any external communications)
- Take action to protect patient, comply with Health and Safety issues to prevent harm/risk etc.

**PRELIMINARY INVESTIGATION**

Undertaken by NP, in consultation with HR manager, to determine nature and seriousness of concern

- Interviewing respondent/complainant, and others, as appropriate.

**INITIAL ACTIONS**

[NP can convene panel]

**INFORMAL RESOLUTION**

- STAGE 1
  - Out of scope of Research Misconduct Policy
  - No case to answer
- STAGE 2
  - Evidence to suggest 'Prima Facie' case (i.e. sufficiently serious with sufficient substance)
  - Minor infraction with no evidence of negligence or intent to deceive

**INFORMAL RESOLUTION**

1) Draft report of investigation forwarded to Respondent and Complainant for comment on factual accuracy, before finalising report.
2) Complainant and Respondent notified in writing of outcome.

**FORMAL INVESTIGATION**

NP convenes investigation panel chaired by a Head of Department (seeking external member if deemed appropriate) agreeing ToR.

- Informal resolutions (e.g. Training and development, supervision, performance improvement etc.)
- Advise PVC for RI/Faculty HR Manager/FPVC/AFO/Partner Organisation/Funders etc.

Complainant/Respondent informed of panel composition/ToR and given opportunity to raise any perceived conflict of interest

**Outcome**

- Investigation conducted and report including recommendations/outcome forwarded to NP
- 1) Allegations not upheld
- 2) Allegations upheld in part
- 3) Allegations upheld in FULL

**Named Person considers conclusions/recommendation (in liaison with HR and other senior staff as appropriate) and decides on appropriate action/next steps (could include referral to disciplinary/capability procedures or other actions). Meeting with Chair of Panel as appropriate to discuss findings/advice of action.**

**Named Person informs key stakeholders e.g. complainant/respondent/PVCRI/VC/Director of HR/AFO/relevant external bodies, of outcome/actions.**