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

**INDICATIVE TIMELINE**

1. Unresolved/inappropriate
2. Resolved

**INFORMAL RESOLUTION**

(Concern raised with HoD/LM)

**FORMAL COMPLAINT/ALLEGATION RAISED**

With Ethics and Integrity Officer [In writing or anonymous]

Providing full information at the time of submission

**E&I Officer/or nominee acknowledges receipt within 3w/ds and allocates to NP**

**PRELIMINARY INVESTIGATION**

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

[Seeking advice as appropriate from e.g. Finance, Specialists etc.] Interviewing respondent/complainant, and others, as appropriate.

[NP can convene panel]

**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.

**OUTCOME**

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

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

Investigation conducted and report including recommendations/outcome forwarded to NP

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

**KEY**

STAGE 1

STAGE 2

**OUTCOME**

- Allocations not upheld
- Allocations upheld in part
- Allocations upheld in FULL

**INITIAL ACTIONS**

Steps taken to sustain reputation of respondent, if appropriate

Complainant advised, if appropriate, of more relevant procedure (e.g. mediation/grievance/disciplinary/informal discussion/capability/unfair means/referred to an external organisation)

**INFORMAL RESOLUTION**

STAGE 1

STAGE 2

**KEY**

- Malicious/Vexatious/Frivolous
- Steps taken to sustain reputation of respondent, if appropriate
- Refer to Disciplinary Procedure

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

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

Investigation conducted and report including recommendations/outcome forwarded to NP

NP liaises with respondents/LM to agree suitable programme (monitored by LM/HR)

Advises all relevant stakeholder of outcome

**Outcome**

- Allocations not upheld
- Allocations upheld in part
- Allocations 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/VP (RI)/VC/Director of HR/AFO/relevant external bodies, of outcome/actions.**