



# **Code of Policy and Procedures for Investigating and Resolving Allegations of Misconduct in Research 2018-19**

**Issued by the Standards and Enhancement Office, April 2015.**

**First approved by Senate 15 March 2004.**

*A technical update of this document was undertaken in April 2015 to reflect changes to the University's organisational and management structures and to incorporate earlier, approved amend[(A)-2(p)-3(ri)5(l)]2057y*

## **Contents**

- 1. Scope**
- 2. Standards of Professional Behaviour in Research**
- 3. Definition of Misconduct in Research**
- 4. Procedures**
- 5. Maximum Time Scale of Investigation into Allegation of Research Misconduct**
- 6. Useful Resources**

1.

ethical codes and guidelines for the conduct of research and University personnel are expected to comply with such standards. The University has published elsewhere a



## 4. Procedures

The University is committed to ensuring that all allegations of research misconduct are investigated thoroughly, fairly and expeditiously, and with care and sensitivity. To this end, the procedure for handling allegations of research misconduct is separated into two stages. Firstly, an initial assessment to determine whether there is a prima-facie case for an investigation and, secondly, a formal investigation to examine and evaluate all the relevant facts, and to determine whether research misconduct has been committed. Reasonable adjustments will be made to all procedures to ensure that no individual against whom an allegation is made is placed at a disadvantage by virtue of a disability or specific learning disability.

### 4.1 Initial Allegation of Research Misconduct

- 4.1.1 Any member of the University who believes that an act of research misconduct has occurred or is occurring should notify the Head of School or manager of the academic department<sup>2</sup> to which the individual suspected to have perpetrated the research misconduct is attached. If, for any reason, this is not possible or appropriate, the individual should contact the senior University manager with responsibility for research (the '**Head of School or other responsible senior manager** ).
- 4.1.2 Any person or organization external to the University wishing to report suspected research misconduct should contact the Head of School or other responsible senior manager.
- 4.1.3 All possible steps will be taken to protect the anonymity of any

Resources (or, if a research student is the subject of the allegation, s/he may choose to notify the appropriate University postgraduate research student manager, at his/her discretion









Note that the timescale for any stage noted above is the maximum that would be expected and that, under normal circumstances, good practice will dictate that the various stages should be expedited well within these maxima.

## **6. Useful Resources**

Active Risk Management in Education, Research Misconduct, February 2006.  
<http://www.jisclegal.ac.uk/Projects/ActiveRiskManagementinHigherEducation/ARMEDResearchmisconduct.aspx>

Association of Medical Research Charities, AMRC Guidelines on Good Research Practice, 2002.

[http://www.amrc.org.uk/research-resources\\_guidance](http://www.amrc.org.uk/research-resources_guidance)

Biotechnology and Biological Sciences Research Council, Safeguarding Good Scientific Practice, June 2006.

The Seven Principles in Public Life – Summary of the Nolan Committee’s First Report on Standards in Public Life, 1995.

<http://www.archive.official-documents.co.uk/document/parlment/nolan/nolan.htm>

UK Research Integrity Office: Code of Practice for Research: Promoting good practice and preventing misconduct, 2009.

<http://www.ukrio.org/what-we-do/code-of-practice-for-research>

UK Research Integrity Office: Procedure for the Investigation of Misconduct in Research, 2008.

<http://www.ukrio.org/what-we-do/procedure-for-the-investigation-of-misconduct-in-research/>

Universities UK: The concordat to support research integrity, July 2012.

<http://www.universitiesuk.ac.uk/highereducation/Documents/2012/TheConcordatToSupportResearchIntegrity.pdf>

Welcome Trust, Guidelines on Good Research Practice, including Statement on the Handling of Allegations of Research Misconduct, November 2005.

<http://www.wellcome.ac.uk/About-us/Policy/Policy-and-position-statements/WTD002756.htm>



If the Panel finds the allegation proven and any subsequent appeal is not upheld, the Head of School or other responsible senior manager, in consultation with the Vice Chancellor, will determine what action needs to be taken. This action may include the initiation of formal disciplinary proceedings under the University's published disciplinary procedures.

<b>CODE OF POLICY AND PROCEDURES FOR INVESTIGATING AND RESOLVING ALLEGATIONS OF MISCONDUCT IN RESEARCH</b>	
Policy ref:	
Version number	1.0
Version date	April 2015
Name of Developer/Reviewer	Greg Allen
Policy Owner (Group/Centre/Unit)	Standards & Enhancement Office
Person responsible for implementation (postholder)	Designated officer in the Standards & Enhancement Office or Research & Graduate School
Approving committee/board	Senate
Date approved	March 2004 (by Senate)
Effective from	September 2004
Dissemination method e.g. website	Website
Review frequency	Annual
Reviewing committee	Research & Knowledge Exchange Committee
Consultation history (individuals/group consulted and dates)	Board of Studies for Research Degrees
Document history (e.g. rationale for and dates of previous amendments)	First published 2004; Revised 2013; Technical update September 2014; Technical update April 2015