Appendix IV: Research Misconduct Procedure

**Initial Steps**
- Allegation received by Named Person
  - Named Person reviews allegation; addresses any immediate risks; informs key senior management
  - College HR and Finance check contractual status of respondent and sources of funding
  - Named Person informs Respondent of allegations

**Screening Stage**
- Named Person determines if allegations are mistaken, frivolous, vexatious and/or malicious
  - YES: Allegations dismissed
  - NO: Named Person organises Screening Panel
  - Screening Panel review allegation to determine if evidence of research misconduct
    - Screening Panel request further evidence and interview complainant, respondent and other relevant staff
    - Screening Panel review evidence and interview complainant, respondent and other relevant staff
  - Outcome decided
  - 1. Allegations dismissed
  - 2. If misconduct other than research misconduct, move to Disciplinary Procedure
  - 3. If minor, address via training and supervision
  - 4. If sufficient substance to allegations, continue to Formal Investigation

**Formal Investigation**
- Named Person organises Investigation Panel, including external panel member. If research is funded by a Research Council, confirm with Research Council if they wish to observe
  - Investigation Panel review evidence and interview complainant, respondent and other relevant staff
  - Decide outcome on ‘balance of probabilities’
    - Allocations dismissed
    - Allocations upheld in part or in full
    - Named Person informed of outcome; updates Respondent, Complainant, key senior management, and relevant third parties of outcome
  - Head of HR and at least one other senior manager decide on progressing to Disciplinary Hearing

**Disciplinary Hearing**
- Disciplinary Hearing takes place; Chair of Investigation Panel invited to present findings
  - Outcome decided
  - No further action - allegations dismissed
  - Warning issued
  - Some other sanction
  - Dismissal