

Research Misconduct Policy

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Scope (applies to)	All researchers
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Approver	Professor

V1.2 Policy renewed for 6 months to allow completion of review

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- i. providing guidelines on good research conduct, a clear definition of research misconduct, and a policy and procedure for handling and investigating allegations of research misconduct;
- ii. supporting researchers to be aware of these; and
- iii. handling all allegations of research misconduct in accordance with this Policy.

13. Individuals responsible for enacting any part of this Policy are responsible for:

- i. ensuring that they are familiar with, and conduct themselves in line with, this Policy.

Definition of research misconduct

Further definitions of terms used within this Policy are provided in paragraphs 46 to 59 at the end of this Policy.

14. This definition is based on existing norms and best practice. Committing one of the following acts, via commission or omission, as a result of intention and/or recklessness and/or gross negligence, in any aspect of the research endeavour (e.g. obtaining funding, planning research, undertaking research, documenting and communicating the findings, reviewing the work of others)¹

- i. **Misappropriation** of the materials, resources or work of others, including plagiarism, misquoting, taking undue credit or the unethical use of privileged material (for example, material seen in reviewing, examining or refereeing).
- ii. **Fabrication and/or falsification** in proposing (including applications for funding), carrying out or reporting the results of research (including reporting to research funders). This includes explicit and implicit misrepresentation of credentials, qualifications and/or experience.
- iii. **Misrepresentation, suppression or inappropriate manipulation** of research findings/data, individuals' involvement/contributions (such as 'ghost' and/or 'guest' authors) or the conflicting/competing interests of either the researchers/funders involved with the work.
- iv. **Failure to comply with relevant legal and ethical requirements (including those placed on researchers by organisations other than the University)**, including obtaining and adhering to ethical approvals, licenses or legally-binding agreements such as research funding contracts.
- v. **Failures to comply with relevant University policies, follow accepted procedures/protocols or exercise due care**, particularly if such failure results in unreasonable risk of harm to humans, or lasting harm to animals or the environment. This includes behaviour of serious consequence that falls significantly short of the standards of research conduct set out in: the University's Principles of Good Research Conduct (Policy); relevant University guidelines; or in guidelines published by professional bodies and/or learned societies.
- vi. **Ethically and/or morally inappropriate use of research data** (such as deliberately attempting to re-identify people from their data) **or the outcomes of research.**
- vii. **Collusion in, or deliberate concealment of, research misconduct by others.**
- viii. **Making an unfounded allegation of research misconduct against another individual in bad faith.**

¹ Students' research-related activity is bound by this Policy and the Principles of Good Research Conduct (Policy). The University expects all individuals undertaking research under the auspices of the University, including students, to understand and observe good research conduct in any research-related activity. These expectations reach beyond activity that meets the [Good Academic Practice policy's](#) definition of academic

- iv. Those who give evidence should do so honestly and objectively and will be provided with a copy of this Policy before giving evidence.
- v. In obtaining evidence to support their cases, Complainants and Respondents must exhaust all direct avenues they have at their disposal before requesting that the University assist in providing access. The VPRI will determine the response to any such request, and if access will be assisted, the University will not undertake any activity beyond providing access (for example, the University will not participate in the searching and identification of evidence beyond simply providing access for the Complainant or Respondent to do so themselves)

23. Detailed and confidential records will be maintained throughout, including minutes of all formal meetings convened under the Procedure (Annexe), reports, correspondence, transcripts of meetings or other documentation, in accordance with the provisions for personnel files detailed in the University's Principles of Records Management.³

24. Concerns relating to failure to follow this Policy should be first addressed to the Vice-Principal (Research and Innovation). Appeals on the grounds of failure to follow this Policy should be addressed to the University's complaints handling procedure.⁴ The final conclusions reached by the Investigator and the Panel will be based on their academic judgement and therefore not open to appeal. Any Respondent whose case progresses to a disciplinary procedure will have a right of appeal in accordance with that procedure.

25. The Principal or their nominee has, in accordance with relevant University policies, the right to suspend a member of staff or student during an investigation.

- ii. It may be advisable, particularly in complex cases, for those selected to accompany the Respondent or Complainant to be an academic specialist in the discipline(s) in which the misconduct is alleged to have taken place.
- iii. If the Respondent/Complainant has a disability, it may be appropriate to allow them to be accompanied by a suitable person because of their disability, in addition to any chosen companion.
- iv.

51. Guest author: someone who has made little or no contribution to the work but is listed as an author.
52. Investigator: the person appointed under this Policy to conduct a Preliminary Investigation of an allegation of research misconduct. At the discretion of the Vice-Principal (Research and Innovation), a Preliminary Investigation Panel may be appointed to conduct a Preliminary Investigation rather than a single person.
53. Research misconduct: see paragraphs 14 and 15.
54. Research: 'a process of investigation leading to new insights', excluding 'routine testing and routine analysis' and 'the development of teaching materials that do not embody original research'.⁷
- 55.

Version number	Purpose / changes	Document status	Author of changes, role and school / unit	Date
V1.0 V1.1	Minor changes made following review in 2021, adjustment of paragraphs 15.iv, 19. Addition of paragraph 22.v		Richard MaI90RB7.65 711	01/01/2019