



Policy and procedures for responding to allegations of misconduct in research

1 Policy on Research Conduct

This policy and procedures applies to all members of School of Advanced Study involved in research. This includes all School of Advanced Study staff, research students and to those who are not members of the School but who are conducting research under its auspices, such as Visiting Fellows

2 Principles of Good Practice in the Conduct of Research

2.1 The School of Advanced Study [Code of good practice in the conduct of research](#) (see above) sets the following principles:

2.2 All those to whom the policy applies are expected to:

- x maintain professional standards
- x be familiar with guidance on best research practice, for example [initial to matters of policy, ethics, finance and safety](#)
- x observe legal and ethical requirements laid down by School of Advanced Study other properly appointed bodies involved in the research field
- x





4.7 The investigation committee will produce a report stating: the procedures under which the investigation was conducted; how information was obtained; the findings of the committee and the basis for these; a summary of the views of the respondent; and a description of any sanctions recommended by the committee.

4.8 The report shall be submitted to the Vice Chancellor. The investigation committee may also make recommendations to promote best practice in the conduct of research.

4.9 On receipt of the report by the Vice Chancellor, and with his/her approval, Deans shall proceed as follows:

- (a) In the event that the investigation committee has found no evidence of misconduct, the complaint shall be dismissed.
- (b) In the event that a complaint is upheld, but the offence found to be insufficiently serious to warrant formal disciplinary proceedings, the matter may be referred to the Institute Director or other appropriate individual for resolution.
- (c) If the investigation has uncovered prima facie evidence of serious misconduct, then the matter shall be dealt with under the appropriate University disciplinary procedures.

4.10 If the investigation committee finds the allegation to have been malicious or mischievous in nature, the Dean shall consider whether disciplinary action should be taken against those making the allegation.

4.11 Where the research is funded in whole or part by an outside grant, body shall be informed of the investigation and any referral under disciplinary regulations.

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