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## Procedure for the Investigation of Misconduct in Research (UKRIO)

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| <b>Scope of Policy:</b>                                             | The procedure outlines the processes which should be followed when complaints of misconduct in research are brought against any member of staff                                                                                                                                                                                                                                                                                                                             |
| <b>Author:</b>                                                      | The policy is owned by the Deputy Vice Chancellor (Research and Innovation) and was drafted by Professor Timothy Hodgson (Named person under the UKRIO procedure)                                                                                                                                                                                                                                                                                                           |
| <b>Applicable to:</b>                                               | University of Lincoln staff carrying out research. Exceptionally, students engaged in research (cf. University Regulations – Academic Offences)                                                                                                                                                                                                                                                                                                                             |
| <b>Consultation Process:</b>                                        | <p>The policy was developed in consultation with DVC Research and Innovation, Research Governance Manager, and Human Resources Business Partner. The policy was discussed at the University's Research Ethics Committee and endorsed by the Research Committee.</p> <p>No amendments were required following review during 2021/22. Research &amp; Enterprise Committee therefore approved this version on the basis that only a revised next review date was required.</p> |
| <b>Approval Body:</b>                                               | Academic Board<br>Research & Enterprise Committee                                                                                                                                                                                                                                                                                                                                                                                                                           |
| <b>Date of Approval:</b>                                            | 16 May 2022                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>Date of Implementation</b> (if different from date of approval): | 16 May 2022                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>Review Date:</b>                                                 | May 2023                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| <b>Version:</b>                                                     | University of Lincoln Version 1.1<br>16 May 2022                                                                                                                                                                                                                                                                                                                                                                                                                            |
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# Procedure for the Investigation of Misconduct in Research (UKRIO)

Version 1.1

Date: 16 May 2022

## 1. Introduction and Overview

On 12 January 2011 Academic Board approved the adoption of the *UK Research Integrity Office Procedure for the Investigation of Misconduct in Research* (hereafter referred to as the *UKRIO Procedure*). The present document replaces the original policy document dated 21 January 2011 following a further review of the procedure carried out in April 2018.

The *UKRIO Procedure* remains unchanged and has now been fully adopted by the University of Lincoln and incorporated into the *Code of Practice for Research* (Section 2.16). This policy document is intended as a useful summary of the key features of the UKRIO process, including a flow diagram (Annex 1) illustrating the operation of the UKRIO Procedure.

The UKRIO Procedure comprehensively defines the process for dealing with allegations of misconduct in research against staff members at the University of Lincoln. Allegations against students (including Post-graduate research students) should be dealt with under the University's *General Regulations*. Therefore the full [UKRIO Procedure](#) document should be consulted directly for guidance on the correct operation of the procedure.

## 2. Summary of Key Features of UKRIO procedure

- UKRIO defines misconduct in research as including, but not limited to:
  - a) Fabrication
  - b) Falsification
  - c) Misrepresentation of data and/or interests and/or involvement
  - d) Plagiarism
  - e) Failure to follow accepted procedures or to exercise due care in carrying out responsibilities for:
    - i) Avoiding unreasonable risk or harm to:
      - humans
      - animals used in research
      - the environment
    - ii) The proper handling of privileged or private information on individuals collected during the research
- A senior member of staff with suitable expertise is designated as the Named Person (NP) for receiving and coordinating investigations of allegations of research misconduct. The NP must not be the head of the organisation, director of research or head of personnel.
- The UKRIO Procedure comprises the following stages:
  - i) Initial Assessment and Pre-Screening
  - ii) Screening Stage
  - iii) Formal Investigation.
- The UKRIO Procedure must be followed faithfully prior to any internal disciplinary procedures being initiated. However, the UKRIO Procedure has exit points at each stage such that the process can be suspended in order for allegations to be referred directly to HR, finance, Secretariat or other relevant party such that additional actions can be taken (e.g. staff suspension; initiation of disciplinary procedures). Similarly, allegations deemed to be mistaken, frivolous, vexatious or malicious can be dismissed at each stage of the process.

**Annex 1 – Flow diagram illustrating the UKRIO Procedure for the Investigation of Misconduct in Research**

*Flowchart of the Procedure*

