**Procedure followed by the Named Person for Investigating Allegations of Research Misconduct**

### INFORMAL RESOLUTION

1. Concern is communicated to Named Person (NP).

2. Does NP have any conflict of interest / involvement?
   - **YES**
   - **NO**

3a. NP2 continues to lead process.

3b. NP assumes leadership of process.

4. NP(2) attempts informal mediation / resolution.

### PRE-SCREENING STAGE (10 working days)

5. Allegations are formally reported to NP(2) in writing. Allegations must be specific and provide relevant evidence.

6. Integrity Council is convened and reviews allegations. NP(2) informs Respondent(s) in writing of the allegation. Are the allegations wholly mistaken, malicious, vexatious and/or malicious?
   - **NO**
   - **YES**

7. Allegations are dismissed. The Respondent(s) is informed.

8. Possible disciplinary action against those making allegations found to be frivolous, vexatious or malicious.

9. NP(2) communicates the allegation and the decision to the relevant Head(s) of College and Head(s) of College HR. Are actions necessary to avoid risk to health and safety, patients, etc.?

### SCREENING

10. Is the institution the Respondent(s) primary employer?
   - **YES** Relay allegation to NP of primary employer.
   - **NO**

11. NP(2) ensures that any contractual obligations to funding bodies, partner institutions, etc. are fulfilled, such as informing them of the allegations.

12. Procedure continues to Screening Stage.

13. NP2 works with Integrity Council and convenes Screening Panel.

14. Screening Panel determines the nature of the allegations as below. The Panel must interview the Respondent(s).

   - Allegations are wholly mistaken, malicious or frivolous
   - Allegations should be referred to disciplinary or other internal process
   - Allegations should be addressed via education, training and supervision
   - Allegations have sufficient substance to justify a formal investigation

(normal within 30 working days)

### FORMAL INVESTIGATION (no set timetable)

15. Report of Screening Panel is circulated to Integrity Council, Complainant(s) and Respondent(s).


17. NP(2) informs Respondent(s), Complainant(s), The Principal, relevant Head(s) of College, Head(s) of College of HR, Head of School/Institute Director and relevant external bodies that a formal investigation is to take place.

18. NP(2) convenes Investigation Panel, distinct in composition from the Screening Panel (normally within 30 days of report from Screening Panel).

19. Investigation Panel carries out a comprehensive, fair and timely investigation into the allegations.

20. Does the formal investigation uncover evidence of misconduct by others or of misconduct by the Respondent(s) that is unconnected to the allegations under investigation?

21. Investigation Panel states whether:
   - Allegations are dismissed
   - Allegations are upheld in part
   - Allegations are upheld in full

22. Mitigating actions are taken by Head of College HR.

23. Conclusion of panel is circulated to Respondent(s), Complainant(s), The Principal, Heads of College, Head of College HR and Head of School/Institute Director. Where the allegation is upheld (in full or in part) this communication will typically take place after the disciplinary process is complete.

24. Possible initiation of disciplinary process where allegations have been upheld in full or in part.

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**Action to be taken by:**
- Complainant(s)
- Named Person (2), in consultation with Integrity Council
- Others
- NP(2) in conjunction with Head of College and Head of College HR
- Screening Panel: one member from Respondent’s own College, two members from outside own College (including external to UofG)
- Integrity Adviser

**NP = Clerk of Senate**

**NP2 = Another Vice Principal**

Contact the Clerk of Senate and the RIS administrative lead: research-integrity@glasgow.ac.uk

Integrity Council: Clerk of Senate, Deputy Secretary, and Deputy Director of HR

Links
- Code of Good Practice in Research: [https://www.gla.ac.uk/myglasgow/research/policies/ourpolicies/](https://www.gla.ac.uk/myglasgow/research/policies/ourpolicies/)
- University of Glasgow Integrity Adviser: [https://www.gla.ac.uk/services/health/quality-management/administration/whistleblowing/](https://www.gla.ac.uk/services/health/quality-management/administration/whistleblowing/)

Misconduct procedure v1.7, Research and Innovation Services, University of Glasgow (11 April 2019)