A. TERMS OF REFERENCE FOR THE SCREENING STAGE INVESTIGATOR

1. The Screening Stage Investigator will determine whether there is prima facie evidence of research misconduct. They will have considered that the allegations:

- Constitute research activity where the College has primary responsibility
- Involve a Respondent where the College is the primary employer or for whom it has primary responsibility
- Do not encompass breaches of the law or under those areas in the domain of the relevant regulatory authority
- Do not encompass breaches of the organisation's Regulations which should be dealt with under the Disciplinary Procedure
- Are not mistaken, frivolous, vexatious or malicious

2. The Screening Stage Investigator will be either the Head of Faculty/Department/Centre or other unit or an independent and appropriately qualified nominee. In certain circumstances it will be more appropriate for the Chair of the RMRG to consult with the Vice Provost (Research) to determine who should investigate the allegation.

3. The Screening Stage Investigator shall normally:

- Maintain a record of evidence sought and received, and conclusions reached
- Conduct an assessment of the evidence including interviewing the Respondent and Complainant and other staff considered relevant to the investigation
- Utilise guidance from the UKRIO where needed
- Provide a draft report to the RMRG, who’s Chair will forward it to the Respondent and Complainant for comment limited to the accuracy of facts within the Report.
- The Investigator shall assess the validity of any suggested factual amendments and amend accordingly
- Produce a final report within 3 months wherever possible.

B. TERMS OF REFERENCE FOR THE FULL INVESTIGATION PANEL

4. The Investigation Panel shall be convened by the Provost to investigate allegations of research misconduct which the Screening Investigator has deemed to have sufficient substance to warrant a full investigation.
5. The Panel shall be appointed by the Provost and/or President and shall consist of a College Consul of the relevant Faculty, two other members of academic staff from the College, and a member of academic staff from another university.

6. The Panel shall:

- Receive all relevant information from the Screening Panel as background for the investigation,
- Set a date for the investigation, which shall be conducted as reasonably expeditiously as possible,
- Maintain a record of evidence sought and received, and conclusions reached,
- Conduct an assessment of the evidence,
- Hear the Complainant and such other individuals as the Panel consider relevant to the investigation,
- Hold a Formal hearing, to hear the Respondent’s response to the allegations made.
- Consider the allegations of misconduct in research and reach a conclusion on the allegations with the standard of proof used to reach that decision being ‘on the balance of probabilities’,
- Provide a draft report to the RMRG, who’s Chair should forward it to the Respondent and the Complainant (and their representatives by agreement) for comment only on the factual accuracy of the Report,
- Shall assess the validity of any suggested factual amendments and amend accordingly,
- Report any further or distinct incidents of Research Misconduct encountered, which warrant separate investigation,
- Aim to reach a unanimous decision, failing which a majority decision will be acceptable.

7. The Investigation Panel should then produce a final report that:

- Summarises the conduct of the investigation,
- States whether the allegation of misconduct in research have been upheld in whole or in part, giving the reasons for its decision and recording any different views;
- Makes recommendations in relation to any matters relating to any other misconduct identified during the investigation;
- Addresses any procedural matters that the investigation has brought to light within the College and relevant partner organisations or funding bodies.