1. **Introduction**

1.1 Anglia Ruskin University is committed to good research practice which is reflective of the Seven Principles identified by the Nolan Committee on Standards in Public Life: selflessness, integrity, objectivity, accountability, openness, honesty and leadership. In particular, good practice in research encompasses honesty, openness and integrity, all of which are integral to our Corporate Values.

1.2 We expect all members of staff and students to observe the highest ethical and professional standards in their research, and to operate fully in accordance with the *Anglia Ruskin University Good Practice Research Guide*. The Guide applies to all research undertaken by staff, students and visitors to our University and to research carried out in partnership with our University.

1.3 Allegations of misconduct in research are rare but need to be dealt with seriously and in line with University procedures. This document sets out how any allegations of misconduct in research will be dealt with.

2. **Definition of Misconduct in Research**

2.1 Misconduct in research includes, but is not limited to:

- Fabrication and/or falsification of research data, including intentionally misleading or false reporting of research information
- Piracy (the deliberate exploitation of ideas and works of others without acknowledgement)
- Fraud (including the invention of data or the misuse of research funds, equipment or premises)
- Unacknowledged appropriation of the work of others, including plagiarism
- Abuse of confidentiality regarding unpublished materials
- Deception in proposing and/or conducting research and deliberate, dangerous or negligent deviations from accepted practice of conducting research
- Any conduct that seriously deviates from ethical standards in research
- Failure to acquire ethical consent in the appropriate manner
- Falsification of a research track record
- Failure to meet any legal requirements as set down in legislation including but not limited to the Human Tissue Act, Data Protection Act and Mental Capacity Act
- Failure to follow any protocols laid out in the guidelines of the appropriate professional, academic, scientific and governmental bodies
- Failure to adhere to the terms and conditions of externally funded research as dictated by the funding body or bodies
- Facilitating misconduct in research by collusion in, or concealment of, such actions by others
• Failure to follow accepted procedures or to exercise due care in carrying out responsibilities for avoiding unreasonable risk or harm to humans or animals used in research or the environment.
• Breach of duty of care, which involves deliberately, recklessly or by gross negligence:
  o disclosing improperly the identity of individuals or groups involved in research without their consent, or other breach of confidentiality
  o placing any of those involved in research in danger, whether as subjects, participants or associated individuals, without their prior consent, and without appropriate safeguards even with consent; this includes reputational danger where that can be anticipated
  o not taking all reasonable care to ensure that the risks and dangers, the broad objectives and the sponsors of the research are known to participants or their legal representatives, to ensure appropriate informed consent is obtained properly, explicitly and transparently
  o not observing legal and reasonable ethical requirements or obligations or care for animal subjects, human organs or tissue used in research, or for the protection of the environment
  o improper conduct in peer review of research proposals or results (including manuscripts submitted for publication); this includes failure to disclose conflicts of interest; inadequate disclosure of clearly limited competence; misappropriation of the content of material; and breach of confidentiality or abuse of material provided in confidence for peer review purposes
• Mismanagement or inadequate preservation of data and/or primary materials, including failure to:
  o keep clear and accurate records of the research procedures followed and the results obtained, including interim results
  o hold records securely in paper or electronic form
  o manage data according to the research funder’s data policy and all relevant legislation
• Any plan or conspiracy to engage in any of the above.

2.2 Misconduct in Research includes acts of omission as well as acts of commission.

3. Allegations of Misconduct

3.1 All employees, honorary staff, visiting researchers and research students conducting research on any of our premises or on our behalf have a responsibility to report any witnessed, suspected or alleged misconduct in research to their Head of Department or Director of Institute. Where there is perceived to be a conflict of interest the allegation should be reported directly to the appropriate Dean of Faculty or to the Deputy Vice Chancellor (Research and Innovation).

3.2 Any allegations of misconduct in research received from members of the public will be directed to the Deputy Vice Chancellor (Research and Innovation).

3.3 All allegations of misconduct in research will be investigated in accordance with the appropriate University procedures (see below). Those making an
allegation will not be penalised, provided that it is made without malice and in good faith, reasonably believing it to be true. Any malicious or vexatious allegation may lead to disciplinary action in accordance with the appropriate disciplinary policy and procedure.

4. Investigating Allegations of Misconduct in Research

4.1 We are committed to ensuring that all allegations of misconduct in research are dealt with fairly, thoroughly and expeditiously. We are also committed to treating each case individually, with care, sensitivity and integrity at all times, both for the individuals involved and for any witnesses.

4.2 In research, situations arise that might present as misconduct but are the result of either a misunderstanding or a dispute between individuals. It may be possible to mediate or resolve such differences at the individual or local level, and the manager in receipt of the allegation should seek to determine if such a resolution might be appropriate at the earliest opportunity.

4.3 If the allegation of misconduct in research is against a member of staff, then the manager receiving the allegation will arrange for it to be investigated in accordance with our Staff Disciplinary Policy & Procedure.

4.4 If the allegation of misconduct in research is against a research student, then the manager receiving the allegation will arrange for it to be investigated in accordance with our Research Degree Regulations and Academic Honesty Policy.

4.5 If the allegation of misconduct in research is against a taught student, then the manager receiving the allegation will arrange for it to be investigated in accordance with our Academic Regulations and Academic Honesty Policy.

4.6 If the investigation is about an individual funded by or engaged with Research Councils UK (RCUK) (including acting as a supervisor for an RCUK postgraduate student or engaged with peer review activities), even if it is about work not connected with a grant from a UK Research Council, the case must be reported to the relevant Council at the outset of the investigation.

4.7 The Investigating Officer may wish to consult the UK Research Integrity Office for advice and guidance regarding any allegations of misconduct in research, and to consult their publication: [http://ukrio.org/publications/](http://ukrio.org/publications/) misconduct-investigation-procedure/

October 2015