

Research Misconduct Reporting Checklist

Accessible Version, 2023

The checklist highlights the key questions to ask yourself when reporting potential research misconduct (in the UK).

Use this checklist in conjunction with our guide to Reporting Research Misconduct (link below):

<https://doi.org/10.37672/UKRIO.2023.03.reportingresearchmisconduct>

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Checklist Begins.

- 1.** Does the concern meet the definition of research misconduct versus, e.g., data protection or behavioural misconduct? If yes, do any concerns besides research practice also need reporting in other ways?

See the definition of research misconduct here:

<https://ukrio.org/about-us/what-is-research-misconduct/>

- 2.** Might the concern be reasonably explained as not due to research misconduct? If so, are there informal alternatives to formal reporting?
- 3.** What are your goals and what outcomes do you want?
- 4.** Have you sought advice, e.g., from UKRIO's Advisory Service, the whistleblower charity Protect, or your Research Integrity Office (RIO) or research integrity lead/champion?

UKRIO Advisory Service webpage:

<https://ukrio.org/our-work/get-advice-from-ukrio/>

Protect homepage:

<https://protect-advice.org.uk/>

- 5.** What support do you have in place, e.g., union representation, legal advice, your supervisor, your MP, or your organisation's administration?
- 6.** Is anyone else aware of the concern and willing to confirm your concerns and/or to report with you?

- 7.** Do you have evidence, e.g., documents, emails, or data, which is backed up and ideally well-organised, with a timeline of events?
- 8.** Do you know the research misconduct policies and processes of the relevant organisations?
- 9.** Do you know how long an investigation may take and what is expected of you during an investigation?
- 10.** Do you know how to report to the relevant organisations?
- 11.** Should you or your RIO inform other organisations now or later, e.g., publishers, regulators, the police, or oversight bodies?
- 12.** If the concerns involve both an institution and a publisher, should you or your RIO contact the institution first so that they may secure evidence?
- 13.** Are there any relevant conflicts of interest, e.g., personal relationships or financial interests, that may affect an investigation, i.e., your own, the respondent's, or the investigators' conflict of interests?
- 14.** Do you wish to be anonymous? Will this be possible, might it reduce your credibility, and have you taken steps to ensure anonymity?
- 15.** Do you agree to keep details of the process confidential?
- 16.** Are you ready to keep notes and records during the process, to which you will have long-term access?

17. If you plan to make concerns public, do the following:

a) seek advice;

b) see PubPeer's principles:

<https://pubpeer.com/static/faq#4>

- discuss only publicly verifiable facts, and avoid misconduct claims, personal comments, and speculation about motives.

Checklist Ends.