Research Misconduct Process

**START**
- **MATTER NOTIFIED TO NAMED PERSON**
  - Named Person acknowledges receipt; notifies relevant parties

**RECEIPT OF ALLEGATION STAGE**
- Named Person considers whether:
  - the research was conducted under the auspices of the institution
  - the matter relates to potential research misconduct
- Deemed to have sufficient substance to proceed to next stage
  - Case dismissed:
    - does not fall under misconduct procedure
    - does not need referral elsewhere
  - Poor practice; matter dealt with informally
  - Matter falls under another formal institutional procedure
  - Referral to relevant body

**INITIAL INVESTIGATION STAGE**
- Immediate action is taken in case of risk of harm to people, animals or the environment
- Meetings held
- Evidence gathered
- Preliminary report shared with Named Person

**FULL INVESTIGATION STAGE**
- Panel assesses evidence
- Interviews complainant, respondent and witnesses
- Report shared with Named Person

**APPEALS STAGE after Initial Investigation Stage** (not applicable following the Receipt of Allegation Stage)
- Panel established if criteria met
- Upheld or dismissed

**APPEALS STAGE**
- Complainant may appeal
- Respondent may appeal
- Outcomes followed up and reported:
  - as relevant to conclusion of the misconduct procedure
  - as duty of care
  - to correct the record

**Matter is sufficiently serious to proceed to the next stage**
- Referral to relevant body

**APPEALS STAGE**
- Panel established if criteria met
- Upheld or dismissed

**END OF PROCESS**
- Case dismissed:
  - does not fall under misconduct procedure
  - does not need referral elsewhere
- Poor practice; matter dealt with informally
- Matter falls under another formal institutional procedure
- Referral to relevant body

- Allegations deemed unfounded as mistaken or without substance
- Allegations deemed unfounded as vexatious
- Has substance but of minor nature and dealt with informally
- Allegations upheld either in full or in part

- Referral to other formal process or external body
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  - as relevant to conclusion of the misconduct procedure
  - as duty of care
  - to correct the record

- Immediate action is taken in case of risk of harm to people, animals or the environment

- Panel established if criteria met
- Upheld or dismissed