

# Research Misconduct Screening Panel

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## Terms of Reference

Version 1.00  
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## Approval History

Version	Date	Comments	Approver
1.00	16/10/2023		Research Committee

## Document History

Version	Date	Reason	Person
0.01	16/08/23	New terms of reference required linked to Research Misconduct Procedure	Helen Edwards

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## **1 Key Purpose**

- 1.1 The purpose of the Research Misconduct Screening Panel is to undertake a screening of the allegation to determine whether there is at first sight sufficient evidence of misconduct in research to warrant progressing the case to a Formal Investigation. The Screening Panel is used at Stage 2 of UCEM's Research Misconduct Procedure, and these terms of reference should therefore be read in conjunction with the UCEM Research Misconduct Procedure.

## **2 Terms of Reference**

- 2.1 Consider the allegations and supporting evidence submitted by the Complainant;
- 2.2 Consider the evidence and supporting documentation from the Respondent who should be given the opportunity to respond to the allegations, set out their case and present evidence;
- 2.3 Consider any background information relevant to the allegations and any evidence secured by the Associate Dean (Research) during the receipt of allegations stage;
- 2.4 Where relevant, interview the Complainant, the Respondent, and other relevant parties who might provide relevant information to assist the Panel;
- 2.5 Determine where expert advice might need to be sought in the event that members have insufficient expertise to determine the outcome or make recommendations;
- 2.6 Determine based on the 'balance of probabilities' on one of the following outcomes for each individual case and Respondent;
- That the research misconduct is deemed:
- To be mistaken, vexatious and/or malicious.
  - To have some substance but is either considered minor or without motivation to deceive and therefore would be best addressed with a warning and a referral to training or informal resolution.
  - To require referral to UCEM's disciplinary procedure or other internal process.
  - To warrant referral to an external organisation
  - To be sufficiently serious and of sufficient substance to justify formal investigation at Stage 3 of the Research Misconduct Procedure by the Research Misconduct Investigation Panel.
- 2.7 Report to the Research Ethics Panel on any recommendations about training requirements and lessons learnt from allegations;
- 2.8 Record the evidence considered and the discussion held, and conclusion reached for subsequent use;

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- 2.9 Produce a final report to send to the Associate Dean (Research) or designate who will review and send to the Complainant and Respondent for fact checking before it is finalised. The Associate Dean (Research) will ensure any resulting actions are completed.

### **3 Membership of the Panel**

- 3.1 The membership of the Screening Panel will be appointed by the Associate Dean (Research) or designate and will consist of three senior members of the Education Department not responsible for the line management and/or supervision/mentor of the Respondent.
- 3.2 The Associate Dean (Research) will appoint one of the panel members to chair the Panel.
- 3.3 The Associate Dean (Research) will not be a Panel member and will not seek to influence the Panel.
- 3.4 Members of the Screening Panel should declare any conflicts of interest.
- 3.5 The secretary of the Research Ethics Panel will act as secretary for this Panel and will be attendance to record the Panels discussions and the agreed outcome.

### **4 Quorum**

- 4.1 For the Research Misconduct Screening Panel to be quorate all three appointed members need to be present. If a member is unable to continue to serve on the Panel, they will be replaced by another member of staff appointed by the Associate Dean (Research) or designate.

### **5 Frequency of Meetings**

- 5.1 Panel meetings will be convened as and when necessary, as research misconduct cases arise. In line with the Research Misconduct Procedure Stage 2, investigation by the Screening Panel will normally be concluded within 30 working days from the point at which the Screening Panel is convened.

Signed:



Professor Angela Lee, Chair of the Research Committee

Date 16/10/2023