



Procedures for Handling Research Integrity Concerns

Policy

LBS-RFO-POL-03

Version 3

1. Introduction and Scope

The School takes any research integrity concerns seriously, and the purpose of this document is to set out the principles and procedures for making, managing, and investigating concerns related to research integrity. The following procedure is based on the recommended UK Research Integrity Office (UKRIO) template procedures for investigating breaches of research integrity (2025), and also complements further external protocols and statements governing research activities such as the [Concordat to Support Research Integrity](#).

This procedure applies to any person conducting research under the auspices of London Business School (the School). This includes research students; employees; independent contractors; consultants; visiting and emeritus Faculty; and Faculty on clinical and honorary contracts. In addition, it applies to all research projects conducted under the auspices of the School regardless of whether they are externally funded, or not, as well as research conducted in conjunction with others in the School or in conjunction with other bodies.

This procedure is not intended to cover complaints for which the School has existing policies, such as grievance or disciplinary cases, pay and reward issues, diversity, discrimination, harassment and bullying issues or student grievances.

The adoption of a distinct procedure for investigating research misconduct reflects national standards and recognises that all members of the School who work in research have a responsibility to report any research integrity concerns.

It seeks to:

- Encourage and enable genuine and legitimate concerns of research integrity to be raised without fear of reprisal;
- Provide an opportunity for those concerns to be investigated and for appropriate action to be taken to ensure that the matter is resolved quickly and effectively within the School wherever possible;
- Deter serious research misconduct;
- Promote openness and accountability throughout London Business School.

2. Key definitions

Research	‘Research’ is defined as any form of disciplined inquiry that aims to contribute to a body of knowledge or theory.
Research Misconduct	The definition of Research Misconduct is taken from <i>The Concordat to Support Research Integrity (2025)</i> : <i>“Research misconduct constitutes the behaviours and deliberate actions that fall short of the principles in Commitment 1 of the Concordat, occurring at any point in the research lifecycle. This includes behaviours associated with the ideation of research proposals, reviewing the work of others, and the reporting of research findings.”</i>

A full definition is provided in Annex A of the 2025 Concordat and Appendix B of this document

Questionable Research Practices (QRP)	QRPs refer to minor infractions or research practices, including avoidable errors, which fall short of the definition of intentional research misconduct. They may arise due to a lack of knowledge or attention to detail, negligence, or deliberate action, and may occur where there is no evident intention to deceive.'
Breach of research integrity	When conduct of research falls short of standards of research integrity, whether due to error, questionable research practices (QRP) or research misconduct.
Initiator	'The person, or persons, raising a concern of research misconduct or questionable research practice (QRP). The Initiator may or may not be a member of the School.
Respondent	The person, or persons, against whom the concern of research misconduct is made.

3. How to raise concerns of research integrity - procedures

3.1 Overarching Principles and Ways of Working

The standard of proof used across the procedure is that of "on the balance of probabilities." This means that the activity was more likely than not to have occurred. This requires that those involved in the procedure are satisfied, after thorough and fair consideration of all the evidence, that it is more likely than not that a breach occurred. Where the evidence is balanced or insufficient, no finding of breach should be made. Throughout the procedure, all findings must be clearly documented, including the reasoning for the decision and how the evidence was evaluated in accordance with the balance of probabilities standard. The procedure includes mechanisms for appeal where a party believes that the decision was not supported by the evidence or the process was unfair.

In fulfilling their duties related to this Procedure, the Deputy Dean (Faculty) shall be free to identify suitable professional, administrative, and other support to assist those involved in this procedure (e.g. Investigators and Panels) in carrying out their role. The Deputy Dean (Faculty) and those involved in this procedure (e.g. Investigators and Panels) are also free to seek confidential advice from persons with relevant expertise, both within the School and outside it.

Throughout the procedure, any appointed Investigators or Panel members will need to confirm that:

- Their participation involves no conflict of interest;
- They will abide by the procedure;
- They will respect the confidentiality of the proceedings.

The Respondent and Initiator may raise with the Deputy Dean (Faculty) concerns that they may have about the person(s) chosen but neither has a right of veto over those nominated.

3.2 Raising a Concern

Any concerns of research integrity should initially be raised with the Deputy Dean (Faculty), who is the senior named contact responsible for research integrity. An alternate named contact, where the Deputy Dean (Faculty) is unavailable or where the Deputy Dean (Faculty) is directly involved in the concern will be a senior Faculty member nominated by the Dean. In this case, the alternate named contact will be responsible for fulfilling the duties allocated to the Deputy Dean (Faculty) within this Procedure.

Whilst this Procedure encourages Initiators to raise research integrity concerns with the Deputy Dean (Faculty) directly, the Safe Reporting Mechanism as outlined in the School's Whistleblowing Policy may also be used if this applies (typically applies to staff, faculty, students, alumni, participants and guests of the School, and external parties with whom the School has or has had some type of business relationship). The concern should be submitted in writing and be accompanied by any supporting evidence that is available to the Initiator. It is helpful if matters are raised in a single submission on a single occasion, as this facilitates a thorough assessment of the Initiator's concerns and reduces procedural challenges that can arise from additional concerns being made during subsequent stages of the procedure. On receipt of the written concern, the Deputy Dean (Faculty) will acknowledge receipt of the concern in writing to the Initiator (and his/her representative by agreement).

3.3 Step 1: Reviewing a concern

Purpose: To review the concern that has been raised and determine the most appropriate process to investigate or otherwise address it.

Involvement: Deputy Dean (Faculty), supported by the Research Integrity Lead in RFO (as appropriate).

Process: On receipt of a concern, the Deputy Dean (Faculty) will determine whether the matter falls under this policy or it is more appropriate to be investigated or addressed through a different process.

The Deputy Dean (Faculty) may decide that it is necessary to contact the Initiator and/or the Respondent to seek information or ask questions to carry out the necessary review. Such contact should be in writing. The Initiator and Respondent would not normally be interviewed at this stage.

The Deputy Dean (Faculty) will also determine whether the concern(s) and/or the research project(s) in question concern situations that require immediate action to prevent further risk or harm. If so, then the Deputy Dean (Faculty) will take immediate appropriate action.

Timescale: The Deputy Dean (Faculty) will normally aim to complete this step within 10 working days following receipt of the concern.

Conclusion of this Step and next steps: The potential outcomes of this step are outlined in Appendix A. The Deputy Dean (Faculty) shall write a note summarizing their assessment of the concern(s) and notify the Director, Research & Faculty Office and the Dean. The notification will include relevant information regarding the date of the concern, and the procedures to be followed, as outlined in this document.

Where the outcome (Appendix A.1) determined is (a), the Deputy Dean (Faculty) will inform the Respondent of the following formally and in writing:

- A concern of research integrity has been made which involves them.
- A summary of the concern(s) and a copy of the Procedure.
- That it has been determined that the matter falls under the scope of this procedure and therefore will proceed to the 'Initial Investigation' stage.
- That no decision has been taken on the substance of the concerns raised and that they will be given the opportunity to respond to the concern(s) raised.
- The conclusions of the initial assessment of the concern(s), an outline of the next steps and approximate timescales. Where possible, this may include the identity of the investigator and an indication of when they will be in contact to gain the Respondent's version of events.
- When concerns have been made against more than one Respondent, the Deputy Dean (Faculty) should inform each individual separately and not divulge the identity of any other Respondent(s).

For all other outcomes as indicated in Appendix A.1, the Procedure reaches its endpoint.

3.4 Step 2: Initial Investigation Stage

Purpose: The purpose of the Initial Investigation Stage is to determine whether the matter raised meets the criteria for a Full Investigation, or whether alternative action(s) should be taken. For example, it may be apparent that the alleged breach involves research misconduct or a complex QRP and requires the in-depth scrutiny of a full investigation. Equally, an initial investigation may assess that matters relate to an error or QRP of a non-serious nature and could be addressed through informal measures.

Involvement: This stage will normally be conducted by an Investigator, who is a senior member of LBS faculty. The Deputy Dean (Faculty) can decide that the Initial Investigation may instead be conducted by an Initial Investigation Panel consisting of 2 or 3 people, which may include external members or an external chair.

Process: The Deputy Dean (Faculty) will provide the Investigator with all relevant information including any correspondence and information already provided in support of the concern(s). The Investigator can then contact the Initiator and Respondent to gather information in support of their investigation.

As part of the process, both parties should have the opportunity to provide input into the investigation whether in writing or by interview. Initiators and Respondents can be accompanied to interviews by a colleague or other representative. When interviewed, the Respondent will be allowed to respond to the concern(s) made against them. The Investigator may also contact relevant witnesses suggested by the Initiator or Respondent.

Timescale: The Investigator will normally aim to complete the Initial Investigation stage within 30 working days following instruction from the Deputy Dean (Faculty). Any delays to this timescale should be explained to the Initiator, the Respondent and the Deputy Dean (Faculty) in writing, presenting an estimated revised date of completion.

Conclusion of this Step and next steps: At the conclusion of this step, the Investigator shall write a report of (where relevant, for each concern), the outcome as set out in Appendix A.

A summary of the findings will be sent to the Initiator and the Respondent for comment on matters of factual accuracy only. The Investigator will consider the responses received and if they consider that the report includes errors of fact, will modify the report as necessary.

The Investigator will then submit their final report and records/material relating to the investigation to the Deputy Dean (Faculty), setting out the conclusions of the initial Investigation stage on the concern(s) under investigation and any other matters they wish to draw to the attention of the School. The Deputy Dean (Faculty) shall convey the substance of the Investigator's findings to the Initiator, the Respondent, and such other persons or bodies as they deem appropriate.

Depending on the outcome of the Initial Investigation stage on the concern(s) under investigation, the Deputy Dean (Faculty) will then undertake the following actions:

- If it is concluded that the concern(s) is sufficiently serious and has sufficient substance to warrant a Full Investigation of the complaint (outcome 'a' in Appendix A.2), then the investigation moves to the Full Investigation stage.
- For all other outcomes, the investigation moves to the outcomes and reporting stage.

The role of the Investigator is now concluded, and they play no further role in the Procedure or any subsequent disciplinary procedure, apart from clarifying any points in their report. As the matter may then give rise to disciplinary or other action, a former Investigator should not make any comment on the matter in question, unless formally permitted by the School or otherwise required to by law. They should also remember that all information concerning the case was given to them in confidence. Any queries or requests for comment addressed to the Investigator should be referred to the Deputy Dean (Faculty).

3.5 Step 3: Full Investigation Stage

Purpose: The purpose of the Full Investigation Stage is to review all the relevant evidence and findings made by the Initial Investigation and carry out any further investigation (as considered necessary and appropriate by the Full Investigation panel – “the Panel”) in order to:

- Conclude whether the concern(s) is upheld in full, upheld in part or not upheld as misconduct in research; and
- Make recommendations as appropriate, for consideration by the appropriate School authorities, regarding any further action the Panel deems necessary to address any misconduct it may have found; correct the record of research, and/or address other matters uncovered during its work.

The depth and scope of the investigation will depend on the nature of the concern.

Involvement: The Deputy Dean (Faculty) will form an Investigation Panel and notify the Dean, Director, Research & Faculty Office, and School Secretary that a formal investigation will take place.

The Panel will normally comprise of 3 members. This may include members who are from outside the School. Depending on the circumstances of the investigation, the Panel may consist of a greater number of persons.

The Deputy Dean (Faculty) will select one of the members of the Panel to act as its Chair and may identify suitable administrative or other support to assist the Panel.

Process: The Deputy Dean (Faculty) will inform the Initiator and the Respondent, formally and in writing that the Procedure has moved to the Full investigation stage and that they will be interviewed as part of the process and allowed to provide evidence. They will also be informed that they may be accompanied to any meetings by a colleague or other representative. If the Initiator or Respondent does not wish to be interviewed, they should be asked to engage with the process through other means, such as providing written answers to questions posed by the Panel.

Where there are multiple Initiators and/or Respondents, each must be interviewed separately.

When interviewed, the Respondent will be allowed to respond to the concern(s) raised, set out their case and submit their evidence for consideration by the Panel, before interview. They can also suggest witnesses for the Panel to interview; the Panel may then choose to invite the suggested witnesses to interview.

Timescale: The Panel will normally aim to complete the Full Investigation stage within 3 months of being established. Any delays to this timescale should be explained to the Initiator, the Respondent and the Deputy Dean (Faculty) in writing, presenting an estimated revised date of completion. The aim throughout must be a thorough and fair investigation of the concern(s), conducted in a timely and transparent manner, and with appropriate confidentiality.

Conclusion of this Step and next steps: The potential outcomes of this step are outlined in Appendix A.3. When making decisions about the conduct or conclusion of the Full Investigation, the Panel will attempt to reach a consensus by discussion.

At the conclusion of this step, the Investigation panel will provide a draft report of its findings, which will be forwarded to both the Respondent and the Initiator for comment on the factual accuracy, only of the report. The Panel will consider the responses received and if they consider that the report includes errors of fact, will modify the report as necessary.

The Investigation Panel's report:

- summarises the conduct of the investigation;
- states whether the concern(s) of misconduct in research have been upheld in whole or in part, giving the reasons for its decision for each concern, and recording any differing views.
- makes recommendations in relation to any matters relating to any other misconduct identified during the investigation; and
- addresses any procedural matters that the investigation has brought to light within the School or relevant partner organisations and/or funding bodies.

Once the report is finalised, the Panel will submit their final report to the Deputy Dean (Faculty). The Chair and Panel will also hand over to the Deputy Dean (Faculty) or their nominated representative all records/material relating to the Full Investigation.

On receipt of this final report the Deputy Dean (Faculty) will send a copy of the Panel's findings and recommendations to the Respondent and the Initiator, the Dean, Director, Research and Faculty Office, the School Secretary and such other persons or bodies as they deem appropriate.

The work of the Panel is then concluded, and the Panel should be disbanded. As the matter may then give rise to disciplinary or other action, the Chair and members of the disbanded Panel should not make any comment on the matter in question, unless formally requested by

the School or otherwise required to by law. They should also remember that all information concerning the case was given to them in confidence.

In some circumstances, a concern may need to be referred to an external body for advice and/or action such as concerns involving security-sensitive information or material such as terrorist or extreme groups. In such cases the School Secretary should be contacted in the first instance.

Where the research is funded in whole, or part, by an outside grant, the Deputy Dean (Faculty) will follow the funder's guidance and ensure that such body is given timely and appropriate information as the investigation and progress of an investigation.

3.4 Step 4: Outcomes and Reporting

Purpose: The Purpose of the Outcomes and Reporting stage is to ensure that all necessary actions are taken at the conclusion of this procedure.

Involvement: This step will normally be conducted by the Deputy Dean (Faculty). This stage may be paused until all appeals (Step 5) are held, if relevant.

Process: Having considered the final report the Deputy Dean (Faculty) will conclude whether the concern should proceed to the appropriate disciplinary process. If the appropriate disciplinary procedure is to take place the disciplinary panel will receive all of the information collected and reported on the particular case via the Director, Research & Faculty Office.

Conclusion of this Step and next steps: The potential outcomes of this step are outlined in Appendix A.4. Where concerns have not been upheld (in full or in part), appropriate steps will be taken, given the seriousness of the concern, to support the reputation of the Respondent.

Where the Investigation Panel concludes the concerns are frivolous, vexatious and/or malicious, the Dean will consider recommending the Initiator to the appropriate School disciplinary panel, or other body (as appropriate).

Where the respondent is not a current member of staff/student of the School, the Deputy Dean (Faculty) will determine the nature of any further action to be taken in relation to the investigation and its outcome.

3.6 Step 5: Appeals

Purpose: The purpose of an appeals stage is to permit the Initiator and/or the Respondent to appeal in certain circumstances against the findings of an investigation carried out under this Procedure, by the requirements of The Concordat to Support Research Integrity.

Involvement: The appeals process will be managed by an individual other than the Deputy Dean (Faculty) as they could be implicated in the substance of any appeal. At least one member of the Appeals Panel must be from outside the School.

Process: Appeals may be permitted on any or all of the following grounds:

- a. Procedural irregularity in the conduct of the investigation up to and before the Appeal Panel that could have had a material impact on the outcome.

- b. Fresh evidence becoming available which was not available to the Investigator and/or the Full Investigation Panel.
- c. There was evidence of bias or unfairness in the process or decisions taken by those involved in the procedure.
- d. The recommendations made as part of an outcome of the Procedure/subsequent actions taken are either excessive or inadequate concerning the misconduct found by the investigation.

The Initiator and/or the Respondent may appeal against the outcomes of the Procedure, including the decisions and/or recommendations associated with them.

Any appeal shall be made in writing to the Deputy Dean (Faculty) within 10 working days of being notified of the outcome of the Procedure. The written notice of appeal shall set out the grounds of appeal, and be accompanied, wherever possible, by supporting documentation.

The Deputy Dean (Faculty) will then appoint an Alternative Named Person who will be a senior member of the LBS community and who will assess the appeal to determine whether it falls within one or more of the grounds for appeal set out above, seeking clarification from the person(s) submitting the appeal as necessary. If the appeal does not fall within one or more of the grounds for appeal set out above, then the appeal is dismissed and this decision should be communicated to the person who submitted the appeal. The Appeals stage now ends.

If the appeal does fall within one or more of the grounds for appeal, the Alternative Named Person shall then, as soon as is practicable, appoint an Appeals Panel to undertake the appeals process. The Appeals Panel will normally consist of three persons. No individual involved in the Appeals Panel will have been involved at any stage previously. This may include members from outside the School.

The Alternative Named Person will select one of the members of the Appeals Panel to act as its Chair. The Appeals Panel will review the conduct of the investigation, and any evidence submitted in support of the appeals(s) in question, rather than carry out a re-investigation of the concern(s) in question.

Timescale: The appeal will normally aim to complete this step within two months of receipt. Any delays to this timescale will be explained to the Deputy Dean (Faculty), Initiator and the Respondent in writing, presenting an estimated revised date of completion.

Conclusion of this stage and next steps: The potential outcomes of this step are outlined in Appendix A.5. The Appeals Panel will decide whether it upholds, reverses or modifies the outcome in question by the Procedure, including the decisions and/or recommendations associated with it. The decision of the Appeal Panel is final.

The Appeals Panel shall write a report setting out its conclusions, giving the reasons for its decision and recording any differing views.

A summary of the conclusions will be sent to the Initiator and the Respondent for comment on matters of factual accuracy. The Appeals Panel will consider the responses received and if they consider that the report includes errors of fact, will modify the report as necessary.

The Appeals Panel will then submit their final report to the Alternative Named Person. The Chair and Appeals Panel will also hand over to the Alternative Named Person or their nominated representative all records/ material relating to the Full Investigation.

The Alternative Named Person shall convey the substance of the Appeals Panel's findings and recommendations to the Initiator, the Respondent and such other persons or bodies as they deem appropriate.

The Alternative Named Person will then undertake the actions necessary to implement the conclusions of the Appeals Panel. The work of the Appeals Panel is then concluded and the Appeals Panel should be disbanded.

4. Safeguards and Protection

Protection is provided under this procedure provided that:

- The concern is raised in good faith and in the reasonable belief of the person making the disclosure that the information made available tends to show research misconduct; and
- The concern is raised to an appropriate person (as defined in section 3)

The individual raising the concern will:

- Be protected from reprisal or unfair treatment attributable to the making of the disclosure;
- Be kept informed at all stages of the procedure
- Be assured that any research misconduct will be thoroughly but quickly investigated.

Confidentiality: At all stages of the investigation, all those involved in the investigation (including the initiator and respondent) are required to keep details (including outcomes and communications) strictly confidential, unless there are legal or safeguarding concerns. By submitting a concern of research integrity, you agree to abide with this clause.

Anonymous Concerns: Individuals are encouraged, but not required, to put their name to any concern they raise, in the interest of promoting an open and safe environment and on the understanding that great care will be taken to protect their identity. Concerns expressed fully anonymously are much less powerful and far more difficult to address, however they will be considered with discretion taking into account:

- The seriousness of the issues raised
- The credibility of the concern
- The likelihood of confirming the concern(s) from alternative credible sources.

Additionally, an individual may request that their identity is shared only with the Deputy Dean (Faculty) and any panel convened to investigate the concern. This ensures that the panel can contact the individual for further information or to arrange an interview if necessary. In this scenario, the individual's identity will be kept confidential from the respondent and from others not directly involved in the investigation process, unless disclosure is required by law or for safeguarding reasons.

5. Monitoring

The School is committed to ensuring the effectiveness of this procedure through efficient

monitoring in accordance, where appropriate, with statutory requirements.

6. Training

London Business School will ensure that all relevant members receive appropriate training to increase their awareness of the School Ethics Policy, Code of Practice, and the procedures outlined in this document.

7. Procedure Review

This procedure will be reviewed periodically, and at least reviewed for fitness of purpose after each use. Any need for change will be reported to and approved by Management Board.

Appendix A: Possible Outcomes

Each step within this procedure has a defined set of outcomes. These are outlined within this section.

A.1 Reviewing a Concern

At the conclusion of this step, the Deputy Dean (Faculty) will determine whether the concern raised falls under one or more of the following outcomes:

- a. It potentially falls under the definition of breaches of research integrity and the scope of this Procedure and should advance to step 2.
- b. Falls within the scope of another formal process at the School and warrants referral directly to it.
- c. Warrants referral directly to an external organisation e.g. the research organisation under whose auspices the research in question took place, funders, statutory regulators or professional bodies.
- d. Presents as being related to an error or a QRP of a non-serious and/or non-complex nature, and therefore the initial approach to addressing the matter will be via informal measures such as mediation, and education and training.
- e. Should be dismissed because it does not fall under the remit of this procedure and does not need to be referred elsewhere. An appropriate explanation of the reasoning behind the matter not proceeding further should be provided to the Initiator with this outcome.

A.2 Initial Investigation Step

After the Initial Investigation Stage, the Investigator will determine whether the concern raised:

- a. Is sufficiently serious and has sufficient substance to warrant a Full Investigation of the complaint, or
- b. has some substance but due to its relatively minor nature or because it relates to poor research practice rather than to research misconduct, will be addressed through education and training or another non-disciplinary approach, such as mediation, rather than through the next stage of the Procedure or other formal processes; or
- c. should be referred to another formal process of the Organisation, including but not limited to examination regulations, academic misconduct process or equivalent; bullying/harassment procedure or equivalent; financial fraud investigation process or equivalent; disciplinary procedure; or
- d. warrants referral directly to an external organisation, including but not limited to statutory regulators or professional bodies, the latter being particularly relevant where there are concerns relating to Fitness to Practise; or
- e. is unfounded, because it is mistaken or is frivolous or is otherwise without substance (this could include difference of opinion on methodology), and will be dismissed; or
- f. is unfounded, because it is vexatious and/or malicious, and will be dismissed.

A.3 Full Investigation Step

Possible Outcomes: after the Full Investigation Stage, the Panel will determine whether the allegation of misconduct in research is:

- a. Upheld in full as misconduct in research; or
- b. Upheld in part; or
- c. Has some substance but due to its relatively minor nature or because it relates to poor research practice rather than to research misconduct, will be addressed through informal measures such as education and training or another non-disciplinary approach, such as mediation, rather than through the next stage of the Procedure or other formal processes; or
- d. will be referred directly to another formal process of the Organisation, including but not limited to examination regulations, academic misconduct process or equivalent; bullying/harassment procedure or equivalent; financial fraud investigation process or equivalent; disciplinary procedure; or
- e. warrants referral directly to an external organisation, including but not limited to statutory regulators or professional bodies, the latter being particularly relevant where there are concerns relating to Fitness to Practise; or
- f. is unfounded, because it is mistaken or is frivolous or is otherwise without substance (this could include difference of opinion on methodology), and will be dismissed; or
- g. is unfounded, because it is vexatious and/or malicious, and will be dismissed.

The Panel may also make recommendations for consideration by the Deputy Dean (Faculty) and/or appropriate School authorities, regarding any further action(s) which should be taken by the School and/or other bodies to address any misconduct the Full Investigation may have found; correct the record of research, and/or address other matters uncovered.

A.4 Outcomes and Reporting

The Deputy Dean (Faculty) is responsible for ensuring that any necessary items are carried out after the investigation is completed. In general terms, these actions may include:

- a. Actions relating to the operation and conclusion (subject to any subsequent appeal) of this Procedure, including appropriate transfers of information to any subsequent School processes or informal measures, and/or to any relevant processes of external organisations.
- b. Reporting the outcomes to relevant colleagues/ bodies within the School, for example, line managers, Human Resources and/or Student Services, Academic Board or equivalent.
- c. Making necessary disclosures on the outcomes of uses of the Procedure to external organisations and other interested parties.
- d. Duty of care to Initiators, Respondents and other involved parties, including but not limited to research participants.
- e. Ensuring that appropriate efforts are made to correct the research record.
- f. Addressing procedural or organisational matters uncovered during the investigation.

A.5 Appeals

The Appeals Panel has the power to uphold, reverse or modify the following outcomes of the Procedure, including the decision and/or recommendations associated with them. The following outcomes are therefore available at the appeals stage:

- f. A conclusion of an Initial Investigation or a Full Investigation that an allegation is unfounded, because it is mistaken or is frivolous or is otherwise without substance, and will be dismissed; or
- g. A conclusion of an Initial Investigation or a Full Investigation that an allegation is unfounded, because it is vexatious and/or malicious, and will be dismissed; or
- h. A conclusion of an Initial Investigation or of a Full Investigation that an allegation has some substance but due to its relatively minor nature or because it relates to poor practice rather than to misconduct, will be addressed through education and training or other non-disciplinary approaches, such as mediation, rather than through the next stage of the Procedure or other formal processes; or
- i. A conclusion of a Full Investigation that an allegation is upheld in full; or
- j. A conclusion of a Full Investigation that an allegation is upheld in part.

Appendix B: Full definition of Research Misconduct

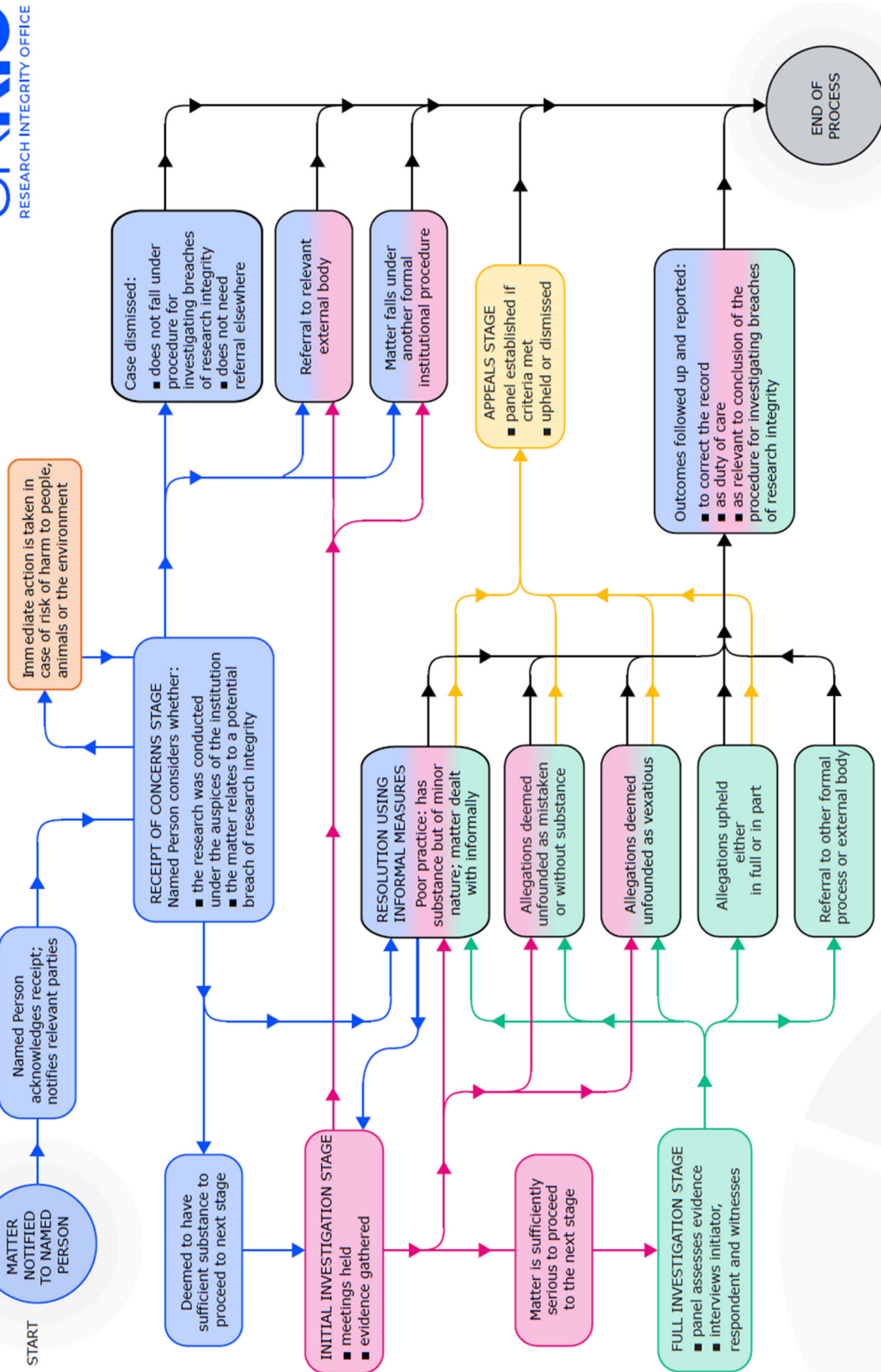
The definition below is taken from The Concordat to Support Research Integrity (2025)

“Research misconduct: Research misconduct constitutes the behaviours and deliberate actions that fall short of the principles in Commitment 1 of the Concordat, occurring at any point in the research lifecycle. This includes behaviours associated with the ideation of research proposals, reviewing the work of others, and the reporting of research findings.” Research misconduct can take many forms, including but not limited to:

- a. fabrication: making up results, other outputs (for example, artefacts) or aspects of research, including documentation and participant consent, and presenting and/or recording them as if they were real.
- b. falsification: inappropriately manipulating and/or selecting research processes, materials, equipment, data, imagery and/or consents
- c. plagiarism: using other people's ideas, intellectual property or work (written or otherwise) without acknowledgement or permission
- d. failure to meet: legal, ethical and professional obligations, for example:
 - i. not observing legal, ethical and other requirements for human research participants, animal subjects, or human organs or tissue used in research, or for the protection of the environment
 - ii. breach of duty of care for humans involved in research whether deliberately, recklessly or by gross negligence, including failure to obtain appropriate informed consent
 - iii. misuse of personal data, including inappropriate disclosures of the identity of research participants and other breaches of confidentiality
 - iv. improper conduct in peer review of research proposals, results or 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 the purposes of peer review
- e. misrepresentation of:
 - i. data, including suppression of relevant results/data or knowingly, recklessly or by gross negligence presenting a flawed interpretation of data
 - ii. involvement, including inappropriate claims to authorship or attribution of work and denial of authorship/attribution to persons who have made an appropriate contribution
 - iii. interests, including failure to declare competing interests of researchers or funders of a study
 - iv. qualifications, experience and/or credentials
 - v. publication history, through undisclosed duplication of publication, including undisclosed duplicate submission of manuscripts for publication
- f. improper dealing with concerns of misconduct: failing to address possible infringements, such as attempts to cover up misconduct and reprisals against whistle-blowers, or failing to adhere appropriately to agreed procedures in the investigation of alleged research misconduct accepted as a condition of funding. Improper dealing with concerns of misconduct includes the inappropriate censoring of parties through the use of legal instruments, such as non-disclosure agreements.

Appendix C: Process Flow

This Appendix includes an extract from UKRIO guidance that provide a summary of the Research Misconduct Process.



Detailed template procedure for the investigation of breaches of research integrity

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Document Control

Document title	Procedures for Handling Research Integrity Concerns
Document Reference	LBS-RFO-POL-03
Document author	Assistant Director, Research Support (Cecilia Fenech Brincat)
Document owner	Deputy Dean Faculty (Gillian Ku)
Issue date	Approved
Approval by and date	Management Board, March 2026
Next review date	At least on next use

Document review

Version	Amendment	By	Date
V1	Initial policy	Management Board	Nov 2011
V2	Policy Update	Management Board	Jun 2021
V3	Template change; Document review following use and in accordance with updated UKRIO guidance.	Management Board	Mar 2026