



NATIONAL WAITING TIMES CENTRE BOARD RESEARCH FRAUD AND MISCONDUCT POLICY

1 FUNCTION

- Research is an essential element of the National Waiting Times Centre Board's (NWTCB) activity in order to achieve its aim of continuous improvement and implementation of evidence-based best practice. In order to fulfil the requirements of the Research Governance Framework, NWTCB has implemented a number of policies and procedures aimed at ensuring that all research is conducted in a safe, ethical and legal manner.
- As part of the organisation's plan for Research Governance, the Board must have in place a system for dealing with research misconduct and fraud. This document lays down the Organisation's procedure for ensuring that any allegations of research misconduct or fraud are dealt with in a fair and consistent manner.
- This policy and procedure should be read in conjunction with the NWTCB Disciplinary Policy (QPHUM002).

2 LOCATION

- All Divisions and Departments within the NWTCB.
- This policy and procedure is applicable to all staff within the NWTCB, individuals with substantive contracts with partnering bodies and any other person who is authorised to undertake research in the organisation or to use its facilities.

3 RESPONSIBILITY (AND DEFINITION)

- **Definition:** In the current context, research misconduct or fraud is defined as:

The fabrication, falsification, plagiarism or deception in proposing, conducting or reporting results of research and the deliberate, dangerous or negligent deviation from accepted practices for conducting research. In addition to the falsification of data, fraud may include the misappropriation or misuse of research funds.

Included are the failure to acknowledge the use of other individuals' work, abuse of confidentiality, misappropriation of results, materials and resources, and collusion, including the concealment of such actions by others.

Excluded are differences of interpretation and opinion.

- **Responsibilities**

Research & Development Manager: Receives initial complaint and request written statement in support of complaint.

Research Lead:

- Gather evidence and take specialist advice. Conduct initial review of complaint. Inform Researcher that complaint has been received. Determine whether formal investigation is required.
- If no formal investigation required, Researcher and Complainant informed and case closed.
- If formal investigation required inform Researcher that complaint will be formally assessed.
- Appoint formal Investigation Team
- Provide written notice of Formal Investigation Team membership and detail of complaint to Researcher

Investigation Team

- Appointed by the Research Lead, the Formal Investigation Team should comprise as a minimum the Research Lead or a nominee, and a representative of the Researcher's Lead Employer.
- Other personnel may be invited onto the panel as required.
- Responsibilities of the Team include conducting formal investigations and present written report of findings to the appropriate Line Manager.

Appropriate Line Manager

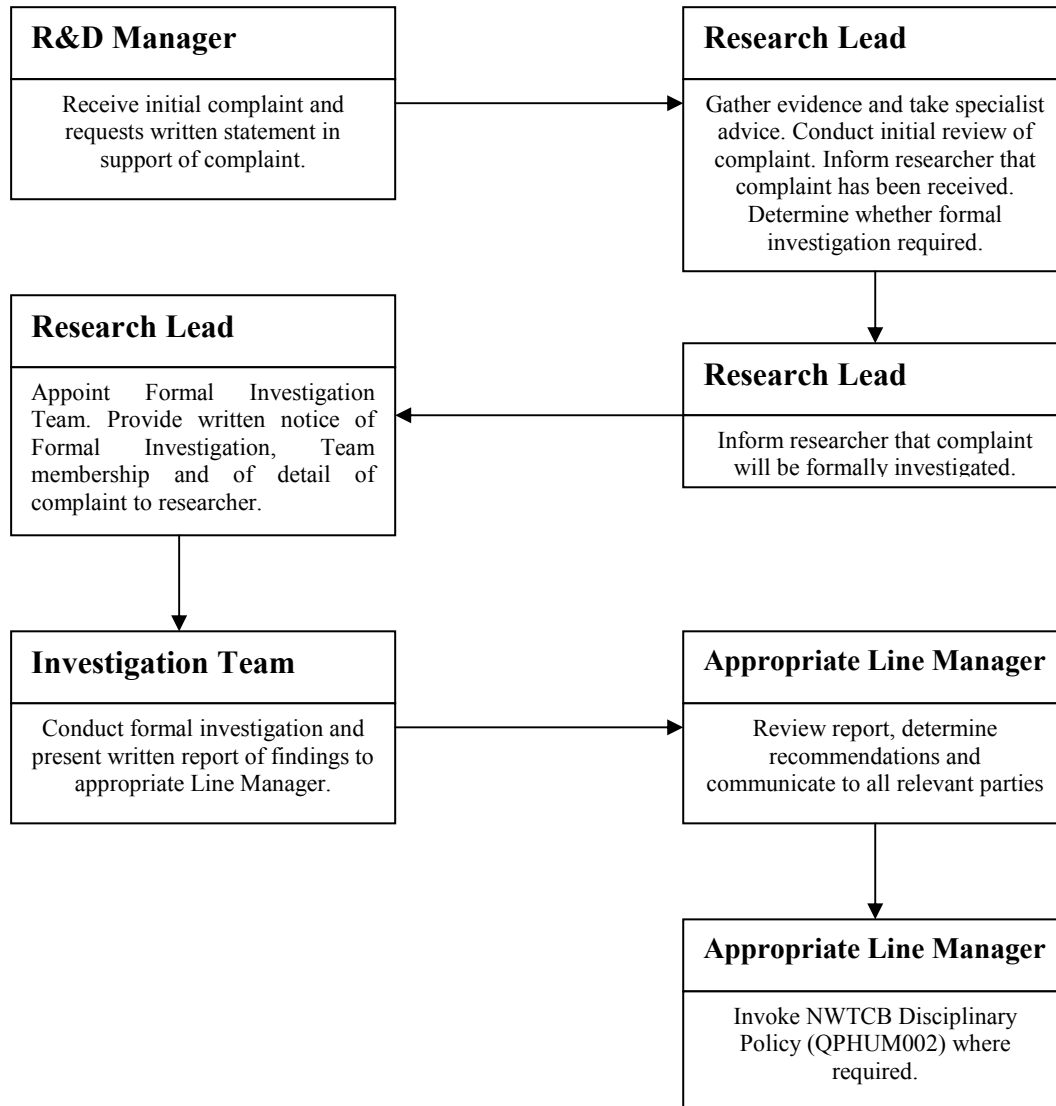
- Review findings of formal investigation, determine recommendations and communicate to all relevant parties
- Invoke disciplinary procedure where required.

NWTCB Researchers

- Cooperate fully with any informal and formal investigations

4.0 PROCEDURE

- The procedure to be followed upon receipt of a complaint relating to research misconduct or fraud is outlined below:



All investigations should be concluded as a matter of priority, and within a maximum of 20 working days

5 APPEALS PROCEDURE

- Where disciplinary action has been invoked, the Researcher will have access to a right of appeal in accordance with the NWTCB Disciplinary Policy (QPHUM002).
- If disciplinary action has not been invoked, the Researcher may appeal against the findings of the investigation through the employer's appropriate appeals or grievances procedure.