



[REDACTED]

29 October 2020

Dear [REDACTED],

Freedom of Information request: FOI2020/00322

Thank you for your Freedom of Information request received on the 14 September in which you requested the following:

Your request:

I understand, as stated on the page you provided, investigations to research misconduct cases are done by individual universities. As such, the university has to provide a response.

I wonder what must be included in that response?

Such information may have been documented in a document/ guidance/ meeting minutes or even an email by UKRI.

Our response

I can confirm UK Research and Innovation (UKRI) hold some information relevant to your request.

Although there are no specific templates or guidance documents that detail what is required to be included in response to a research misconduct allegation; there are relevant policies.

If the research in question was undertaken by a UKRI employee¹, the following policy would apply:

- [Research Council Investigating Allegations of Misconduct in Research Policy](#)²

If the research in question was undertaken by an employee of a university, and was funded by UKRI then the following policies would apply:

- [RCUK Policy and Guidelines on Governance of Good Research Conduct](#)³
- [RCUK Policy and Guidelines on the Governance of Good Research Conduct FAQs](#)⁴

Both policies are linked from the [UKRI research integrity page](#)⁵.

In order to provide further advice and assistance we would like to share with you a link to guidance on how investigations may be run from the [UK Research Integrity Office \(UKRIO\)](#)⁶

¹ An employee within a UKRI institute, centre, or facility. Further information on the structure of UKRI can be found on the following page: <https://www.ukri.org/about-us/who-we-are/>

² <https://www.ukri.org/wp-content/uploads/2020/10/UKRI-020920-InvestigatingAllegationsOfMisconductInResearchPolicy.pdf>

³ <https://www.ukri.org/files/eqacy/reviews/qrc/rcuk-grp-policy-and-guidelines-updated-apr-17-2-.pdf/>

⁴ <https://www.ukri.org/wp-content/uploads/2020/10/UKRI-020920-RCUKPolicyGuidelinesGovernanceOfGoodResearchConduct.pdf>

⁵ <https://www.ukri.org/about-us/policies-standards-and-data/good-research-resource-hub/research-integrity/>

⁶ <https://ukrio.org/>

- <https://ukrio.org/wp-content/uploads/UKRIO-Procedure-for-the-Investigation-of-Misconduct-in-Research.pdf>

However please note, UKRIO is an independent body, unaffiliated with UKRI, and its guidance does not form part of UKRI's requirements for the research we fund.

If you have any queries regarding our response or you are unhappy with the outcome of your request and wish to seek an internal review of the decision, please contact:

Head of Information Governance

Email: foi@ukri.org or infogovernance@ukri.org

Please quote the reference number above in any future communications.

If you are still not content with the outcome of the internal review, you may apply to refer the matter to the Information Commissioner for a decision. Generally, the ICO cannot make a decision unless you have exhausted the review procedure provided by UKRI. The Information Commissioner can be contacted at: <http://www.ico.gov.uk/>

If you wish to raise a complaint regarding the service you have received or the conduct of any UKRI staff in relation to your request, please see UKRI's complaints policy: <https://www.ukri.org/about-us/policies-and-standards/complaints-policy/>

Yours sincerely,


Information Governance
Information Rights Team
UK Research and Innovation
foi@ukri.org | dataprotection@ukri.org