

Memorandum of Understanding (MOU)

between the Research Integrity Office (RIO) and Human Resources (HR) at King's College London

The following MOU sets out the expectations and responsibilities of the HR team and RIO when sharing data as required to meet the terms and conditions of external funders and to ensure complaints are managed by the appropriate team.

Reporting formal cases of bullying, harassment, harm, abuse or discrimination to funders

Several funders require King's to report formal cases of bullying, harassment, harm, abuse¹ or discrimination but the stage and level of information required by funders can vary. It has been agreed that RIO will make any necessary reports to funders on behalf of HR.

When a formal investigation into bullying, harassment, harm, abuse or discrimination under the grievance or disciplinary policies commences against any staff member in receipt of external research funding, HR will inform RIO, via a proforma, of the details of the case. If HR are uncertain whether the researcher is currently in receipt of external research funding, they will first check with RIO. If the funders terms and

¹ Please refer to the definition used by the [Wellcome Trust in their B&H policy](#)

conditions are unclear as to the level of detail they require, RIO will first seek clarification from the funder without sharing any identifiable details.

If the respondent is currently in receipt of external funding or has submissions pending, RIO will confirm the funder requirements for notification. If notification is required at the outset of the investigation, RIO will communicate the necessary details to the funder. HR will provide the appropriate information to RIO to enable such notification. Should there be a requirement for notification to a funding body at a later stage in the process, for example if the allegation is upheld, RIO will inform HR. HR will ensure that RIO is updated at the appropriate time to enable timely notification. This process is outlined as a flowchart in Appendix 1.

For formal investigations, it may be necessary for RIO to additionally communicate information about the case to Research Grants and Contracts as detailed in the Pre-Award Reporting SOP.

Concerns related to breaches of good research practice arising from formal HR investigations and informal issues

Whilst managing formal and informal allegations of bullying, harassment, harm, abuse or discrimination, issues that relate to breaches of good research practice or research misconduct may arise².

Should any such issues be brought to the attention of the HR Business Partner, it is essential that RIO is notified to allow for appropriate guidance and management. HR will advise the complainant to raise the relevant aspect of their complaint with RIO, or, with the consent of the complainant, HR will write to RIO with the relevant details with the complainant in cc. If HR are unsure if the concerns fall under RIOs remit, they will first check with RIO without sharing identifiable information.

Any matters of potential research misconduct must not be handled by HR or locally by Faculties.

Concerns related to bullying, harassment, harm, abuse or discrimination arising from research misconduct investigations and queries

² Examples of research misconduct are outlined in paragraph 3.1 of the [*Procedure for investigating and resolving allegations of research misconduct*](#) (the 'Procedure')

Whilst managing formal and informal allegations of research misconduct, issues that potentially fall within the remit of HR may arise. RIO will advise the initiator to raise the relevant aspect of their initiator with HR or, with the consent of the initiator, RIO will write to the relevant HR Business Partner with the relevant details with the initiator in cc. If RIO are unsure if the concerns fall under HRs remit, they will first check with HR without sharing identifiable information.

Further Information

It may be possible for an investigation into allegations of research misconduct to run concurrent to an investigation into allegations of bullying, harassment, harm abuse or discrimination. However, it may be determined by the Responsible Officer for research misconduct, or the Responsible Officer for bullying and harassment that one investigation should be concluded prior to the commencement of the other.

For any queries about this memorandum of understanding, please contact RIO (research-integrity@kcl.ac.uk).

Appendix 1 – Reporting process for HR

