



|                   |   |         |             |  |
|-------------------|---|---------|-------------|--|
| Policy Owner:     | The Vice President for Research               |         |             | <div><p>جامعة<br/>حمد بن خليفة<br/>HAMAD BIN KHALIFA<br/>UNIVERSITY</p><p>عضو في المؤسسة قطر<br/>Member of Qatar Foundation</p></div> |
| Responsible Unit: | The Office of the Vice President for Research |         |             |  |
| Policy Name:      | Research Misconduct Policy                    |         |             |  |
| Policy ID Code:   | RE EC.03.009                                  | Rev. 00 | Page 1 of 9 |  |

## Research Misconduct Policy

| Ver. | Approval Date | Effective Date | Type of Change          | Approved by |
|------|---------------|----------------|-------------------------|-------------|
| 00   | 28-08-2025    | 28-08-2025     | Review and Ratification | President   |
|      |               |                |                         |             |
|      |               |                |                         |             |

|                   |   |         |             |   |
|-------------------|---|---------|-------------|---|
| Policy Owner:     | The Vice President for Research               |         |             | <div><div>جامعة<br/>حمد بن خليفة<br/>HAMAD BIN KHALIFA<br/>UNIVERSITY</div><div></div><div>عضو في المؤسسة<br/>Member of Qatar Foundation</div></div> |
| Responsible Unit: | The Office of the Vice President for Research |         |             |   |
| Policy Name:      | Research Misconduct Policy                    |         |             |   |
| Policy ID Code:   | RE EC.03.009                                  | Rev. 00 | Page 2 of 9 |   |

## 1. Purpose

This policy establishes Hamad Bin Khalifa University's standards for reporting, investigating, and, where appropriate, sanctioning Misconduct related to research and scholarly activities. HBKU is committed to upholding the highest standards of integrity, ethical conduct, and compliance with applicable laws and regulations while fostering a culture of excellence, innovation, and collaboration in scholarship and research. Allegations of Misconduct will be taken seriously and reviewed in a thorough, timely, and effective manner.

## 2. Scope

This Policy applies only to research and scholarly-related activities conducted under the authority, support, sponsorship, or affiliation with HBKU and specifically covers the following:


- All members of the HBKU Community engaged in research and scholarly work, including individuals affiliated with HBKU such as faculty, researchers, Lead Principal Investigators (LPIS), Principal Investigators (PIs), fellows, technicians, students, trainees, collaborators, sub-awardees, subcontractors, visiting faculty and researchers, and other staff.
- All research and scholarly activities associated with HBKU or any of its affiliated entities, irrespective of the source of funding, or whether funding is involved.
- All HBKU organizational units and all individuals who participate in Research Misconduct proceedings.

Other university policies, and procedures, committees, or boards that address specific forms of Misconduct, such as the unethical treatment of human research subjects participating in research or the mistreatment of animals used in research, are to be enforced concurrently with this policy.


This policy does not apply to educational or administrative matters, including teaching, learning, or other activities that are not related to research and scholarly work. Such matters are governed by other university policies and procedures.

## 3. Terms, Abbreviations, and Definitions

| Term/Abbreviation           | Definition  |
|-----------------------------|---|
| <b>Allegation</b>           | Allegation means a formal disclosure of possible Research Misconduct through any means of communication. The formal disclosure may be by a written or oral statement or other means of communication.   |
| <b>Committee</b>            | The committee appointed to conduct a Preliminary Assessment and/or an Investigation of an Allegation of Research Misconduct.  |
| <b>Complainant</b>          | The person or entity that makes an Allegation of Research Misconduct.   |
| <b>Conflict of Interest</b> | Any situation in which an individual involved in the evaluation, assessment, or investigation of an Allegation of Research Misconduct has personal, professional, or financial interests—or relationships—that could impair, or reasonably appear to impair, their objectivity, impartiality, or ability to carry out their responsibilities fairly. Such conflicts may include close personal relationships, prior involvement in the research or scholarly work under review, supervisory or subordinate roles, or any other interest that may influence, or be perceived to influence, the outcome of the Research Misconduct proceedings. |
| <b>Corrective Action</b>    | A corrective or disciplinary action or sanction imposed on the Respondent upon determination of Research Misconduct.  |
| <b>DO</b>                   | The VPR or the University official to whom the VPR delegates authority to make the final decision on allegations of Research Misconduct and any institutional Corrective Action, as well as the appointment of Preliminary Assessment or Investigation Officers and members of the Committees. In case of delegation of authority by the VPR, prior consultation with and endorsement by the VPR is required prior to decision.   |
| <b>Evidence</b>             | Any document, record, tangible item, or statement that tends to prove or disprove the existence of an alleged fact.   |
| <b>Fabrication</b>          | Fabrication is making up data or results and recording or reporting them.   |

|                   |   |         |             |   |
|-------------------|---|---------|-------------|---|
| Policy Owner:     | The Vice President for Research               |         |             | <div><div>جامعة<br/>حمد بن خليفة<br/>HAMAD BIN KHALIFA<br/>UNIVERSITY</div><div></div><div>عضو في المؤسسة<br/>Member of Qatar Foundation</div></div> |
| Responsible Unit: | The Office of the Vice President for Research |         |             |   |
| Policy Name:      | Research Misconduct Policy                    |         |             |   |
| Policy ID Code:   | RE EC.03.009                                  | Rev. 00 | Page 3 of 9 |   |

|                                       |   |
|---------------------------------------|---|
| <b>Falsification</b>                  | Falsification is manipulating research material, equipment, or processes, or changing or omitting data or results, such that the research is not accurately represented in the research record.   |
| <b>HBKU</b>                           | Hamad Bin Khalifa University.   |
| <b>HBKU Community</b>                 | HBKU Community includes any individual employed or affiliated with HBKU including, faculty, researchers, contracted staff, Lead Principle Investigators (LPIs), Principle Investigators (PIs), fellows, technicians, students, trainees, collaborators, sub-awardees and subcontractors, visiting faculty and researchers, consultants/contributors and any other staff or individual who is performing scholarly work or research activities or providing research services at or with the support and/or sponsorship of HBKU.   |
| <b>HBKU Entity</b>                    | An Office, Directorate, Department, Division, College, Center, Institute, or any other organizational unit within HBKU.   |
| <b>Intentional (or intentionally)</b> | When a person acts with a conscious objective to cause a certain result.  |
| <b>Investigation</b>                  | Investigation is the second stage of the Research Misconduct proceedings, initiated after the Preliminary Assessment stage when the findings necessitate further review. The purpose is to explore the Allegations more thoroughly and determine whether there has indeed been Research Misconduct.   |
| <b>Knowing (or knowingly)</b>         | When a person is aware that his/her act will cause a certain result.  |
| <b>Misrepresentation</b>              | <p>Misrepresentation includes:</p> <ul style="list-style-type: none"> <li>• Misrepresentation of data (suppressing or presenting flawed interpretation of relevant findings, data and/or figures)</li> <li>• Misrepresentation of interests (failing to declare material interests of the researchers or the research funders)</li> <li>• Undisclosed duplication of publication</li> <li>• Misrepresentation of qualifications and/or experience</li> <li>• Misrepresentation of involvement (inappropriate claims to authorship and/or attribution of work where there has been no significant contribution, or the denial of authorship where an author has made a significant contribution).</li> </ul> |
| <b>Need to Know</b>                   | The necessity for access to, or knowledge of, or possession of specific information required to carry out relevant official duties.   |
| <b>OVPR</b>                           | The HBKU Office of the Vice President for Research.   |
| <b>Plagiarism</b>                     | <p>Plagiarism is the appropriation of another person's ideas, processes, information, results, or expressions without giving appropriate credit, such as by acknowledging that person's work.</p> <p>Plagiarism includes both the misappropriation of intellectual property and the substantial unattributed textual copying of another's work. It does not include authorship or credit disputes. The misappropriation of intellectual property includes the unauthorized use of ideas or unique methods obtained by a privileged communication, such as a grant or manuscript review.</p>   |
| <b>Preliminary Assessment</b>         | Preliminary Assessment is the first stage of the Research Misconduct proceedings. It means preliminary information gathering and preliminary fact-finding to determine whether an investigation is warranted.   |
| <b>Preponderance of the Evidence</b>  | Proof by information or evidence that leads to the conclusion that the fact or claim at issue is more probably (more than 50%) true than not.   |
| <b>RIO</b>                            | The HBKU Research Integrity Officer designated by the VPR.  |
| <b>Reckless (or recklessly)</b>       | Where the person knew (or should have known) the accepted standard/practice and consciously disregarded it.   |
| <b>Research</b>                       | A systematic investigation including experiment, test, study, evaluation, demonstration, survey, or other work designed to develop or contribute to general knowledge or specific knowledge by establishing, discovering, developing, elucidating, or confirming information about, or the underlying mechanism relating to, the matters studied. Research includes all basic and applied research conducted across the university.   |
| <b>Research Misconduct</b>            | Research Misconduct means fabrication, falsification, or plagiarism, or other practices that seriously deviate from those that are commonly accepted within the research community for proposing, performing, or reviewing research or scholarly work, or in  |

|                   |   |         |             |   |
|-------------------|---|---------|-------------|---|
| Policy Owner:     | The Vice President for Research               |         |             | <div><div>جامعة<br/>حمد بن خليفة<br/>HAMAD BIN KHALIFA<br/>UNIVERSITY</div><div></div><div>عضو في المؤسسة<br/>Member of Qatar Foundation</div></div> |
| Responsible Unit: | The Office of the Vice President for Research |         |             |   |
| Policy Name:      | Research Misconduct Policy                    |         |             |   |
| Policy ID Code:   | RE EC.03.009                                  | Rev. 00 | Page 4 of 9 |   |

|                        |   |
|------------------------|---|
|                        | reporting research results. Research Misconduct includes any Misrepresentation of research results or other scholarly work. It does not include honest error or differences of opinion, including honest differences in interpretations or judgments of data.   |
| <b>Research Record</b> | The record of data or results that embody the facts resulting from scientific inquiry or other scholarly endeavors, including but not limited to research proposals, laboratory records (physical and electronic), progress reports, abstracts, theses, oral presentations, internal reports, journal articles, and any documents and materials provided by a Respondent in the course of the Research Misconduct proceeding. |
| <b>Respondent</b>      | The person against whom an Allegation of Research Misconduct is directed or who is the subject of a Research Misconduct proceeding.   |
| <b>Retaliation</b>     | An adverse action taken against a Complainant or an individual involved in a Research Misconduct proceeding in response to a good-faith Allegation of Research Misconduct.  |
| <b>RIO</b>             | The HBKU Research Integrity Officer designated by the VPR.  |
| <b>VPR</b>             | The HBKU Vice President for Research.   |
| <b>Witness</b>         | Any individual who testifies or provides information regarding an allegation or whose research record is used as evidence in the Research Misconduct proceedings.   |


## 4. Policy

### 4.1. General Principles

- 4.1.1. This policy does not prevent HBKU entities such as Colleges and Research Institutes from promulgating more specific research Misconduct policies, guidelines, or ethical guidance. However, if these additional policies, guidelines or ethical conduct conflicts or contradicts with this policy, this policy and associated procedures shall prevail.
- 4.1.2. This policy will be implemented, and a Research Misconduct proceeding will begin upon receipt of an Allegation of Research Misconduct or when Research Misconduct is identified.
- 4.1.3. All individuals involved in Research Misconduct proceedings are required to maintain confidentiality and to ensure thoroughness, fairness, and objectivity.
- 4.1.4. A finding of Research Misconduct requires that:
  - There is a significant departure from accepted practices of the relevant research community,
  - The Respondent acted intentionally, knowingly, or recklessly, and
  - The Allegation be proven by a Preponderance of the Evidence.
- 4.1.5. The destruction of Research Records, absence of Research Records, or Respondent's failure to provide Research Records adequately documenting the questioned research or scholarly work is evidence of Research Misconduct where HBKU establishes by a Preponderance of the Evidence that the Respondent intentionally, knowingly, or recklessly had Research Records and destroyed them, had the opportunity to maintain the records but did not do so, or maintained the records and failed to produce them in a timely manner and that the Respondent's conduct constitutes a significant departure from accepted practices of the relevant research community.
- 4.1.6. If a Research Misconduct is confirmed during the investigation, all records shall be retained for a minimum period of three (3) years by a designated office overseeing compliance and research integrity in the office of the Vice President for Research.

### 4.2. Research Misconduct Reporting


- 4.2.1. All HBKU Community members shall promptly report observed, suspected, or apparent Research Misconduct.
- 4.2.2. Allegations of Research Misconduct may be presented verbally or in writing by the Complainant to the RIO or through a link under the VPR webpages dedicated to reporting such allegations.
- 4.2.3. An anonymous report of Research Misconduct may also be submitted to the RIO or through a link under the VPR webpages dedicated to reporting such allegations provided that the report includes supporting information to enable a preliminary assessment of the alleged misconduct.

|                   |   |         |             |   |
|-------------------|---|---------|-------------|---|
| Policy Owner:     | The Vice President for Research               |         |             | <div><div>جامعة<br/>حمد بن خليفة<br/>HAMAD BIN KHALIFA<br/>UNIVERSITY</div><div></div><div>عضو في المؤسسة<br/>Member of Qatar Foundation</div></div> |
| Responsible Unit: | The Office of the Vice President for Research |         |             |   |
| Policy Name:      | Research Misconduct Policy                    |         |             |   |
| Policy ID Code:   | RE EC.03.009                                  | Rev. 00 | Page 5 of 9 |   |

- 4.2.4. If an individual is unsure whether a suspected incident falls within the definition of Research Misconduct, that individual may meet with or contact the RIO to discuss the suspected Research Misconduct informally. If the circumstances described by the individual meet the definition of Research Misconduct but the individual does not wish to submit a formal Allegation, the RIO may initiate the Research Misconduct proceedings without a formal Allegation. If it does not meet the definition of Research Misconduct, then the RIO may refer the individual or Allegation to other offices or officials, where appropriate.
- 4.2.5. In case of evidence that a Complainant did not act in good faith in disclosing Research Misconduct, the Complainant may be subject to Corrective Actions as per the University Policies.

### 4.3. Research Misconduct Proceedings

- 4.3.1. Research Misconduct proceedings shall be conducted in a fair, competent and objective manner in accordance with the procedures associated with this Policy.
- 4.3.2. The Research Misconduct proceeding will be initiated by the DO upon receipt of a formal Allegation of Research Misconduct or when Research Misconduct is identified by the RIO.
- 4.3.3. The Research Misconduct proceedings may involve the following steps: Preliminary Assessment, Investigation, Decision, and Appeal. Not all cases of Research Misconduct will require each of these steps.
- 4.3.4. The RIO shall obtain all the Research Records and evidence needed to conduct the Research Misconduct proceedings. Any additional records required by an Investigation after the initiation of the proceedings shall be obtained accordingly by the RIO.
- 4.3.5. In case the RIO has a conflict of interest or is not available, the Allegation shall be managed and investigated by another University official appointed by the VPR or the DO to serve as the RIO for that particular Research Misconduct.
- 4.3.6. Preliminary Assessment:**
- 4.3.6.1. The Preliminary Assessment may be conducted by the RIO with or without a Committee appointed by the DO.
- 4.3.6.2. The Respondent shall be notified within a reasonable period of the Allegation and the procedures to be followed.
- 4.3.6.3. The RIO and members of the Committee, when established, shall obtain and review relevant documents; conduct interviews as needed; and request additional information when required. If appropriate, advice from experts outside the University may be requested.
- 4.3.6.4. The Preliminary Assessment should be completed within sixty (60) calendar days of notifying the Respondent that a Research Misconduct proceeding has been initiated. This period may be extended when needed following approval by the DO.
- 4.3.6.5. The outcomes of the Preliminary Assessment shall be recorded in a final Preliminary Assessment report summarizing the evidence and findings and indicating whether the Allegation is not warranted or the Allegation warrants an Investigation.
- 4.3.6.6. The parties concerned shall be provided with the opportunity to respond to the final Preliminary Assessment report within five (5) working days upon receipt of the report.
- 4.3.6.7. The final Preliminary Assessment report and any response will be communicated to the DO to decide on whether to proceed with an Investigation or not.
- 4.3.6.8. The DO decision will be communicated by the RIO to all parties within five (5) working days.
- 4.3.7. Investigation:**
- 4.3.7.1. In cases where the DO decides to proceed with an investigation, the investigation shall begin within thirty (30) calendar days of the DO decision to proceed with the Investigation.


|                   |   |         |             |   |
|-------------------|---|---------|-------------|---|
| Policy Owner:     | The Vice President for Research               |         |             | <div><div>جامعة<br/>حمد بن خليفة<br/>HAMAD BIN KHALIFA<br/>UNIVERSITY</div><div></div><div>عضو في المؤسسة<br/>Member of Qatar Foundation</div></div> |
| Responsible Unit: | The Office of the Vice President for Research |         |             |   |
| Policy Name:      | Research Misconduct Policy                    |         |             |   |
| Policy ID Code:   | RE EC.03.009                                  | Rev. 00 | Page 6 of 9 |   |

- 4.3.7.2. The Investigation must be conducted by a Committee established by the DO. The Committee shall include the RIO as a member, be chaired by a member designated by the DO and may include members from inside or outside HBKU as appropriate. The Committee may include members from the Committee established during the Preliminary Assessment of the Research Misconduct.
- 4.3.7.3. The Investigation should be completed within ninety (90) calendar days from the date of the initial meeting of the Committee in charge of the Investigation.
- 4.3.7.4. The Investigation may uncover information that justifies broadening the scope of the review and Investigation beyond the initial Allegation.
- 4.3.7.5. The outcomes of the Investigation shall be recorded in an investigation report summarizing the evidence and findings and indicating whether Corrective Actions are recommended.
- 4.3.7.6. The parties concerned shall be provided with the opportunity to respond to the final report within five (5) working days upon receipt of the report.
- 4.3.7.7. The final report, any response from the concerned parties, and the Corrective Actions recommended by the Committee will be communicated by the RIO to the DO within five (5) days to decide on the Corrective Actions, if any, to be administered to the Respondent.

#### **4.3.8. Decision by the Deciding Official (DO):**

- 4.3.8.1. The DO reviews the investigation report, the findings, the Committee recommended Corrective Actions, and any response to determine, following consultation with and endorsement by the VPR, whether to:
  - (a) Adopt the findings and the actions recommended by the Committee,
  - (b) Adopt the findings totally or partially and decide on different actions, or
  - (c) Dismiss the case.
- 4.3.8.2. If the Allegation is found to be unjustified, HBKU shall make concerted efforts, as necessary, to restore the reputation of the Respondent.
- 4.3.8.3. Any Corrective Action shall be based on the seriousness of the Research Misconduct, including but not limited to the degree to which the misconduct:
  - was intentional, knowing, or reckless,
  - was an isolated event or part of a pattern, and
  - had a significant impact on HBKU, Research Records, research subjects, other researchers, other institutions, or public welfare.
- 4.3.8.4. The DO may decide on one or more actions including, but not limited to, the following:
  - Exclusion from a particular research project,
  - Special monitoring of future work,
  - Restitution of funds as appropriate,
  - Suspension or termination of an active award,
  - Verbal or written warning,
  - Suspension without pay,
  - Reduction of salary,
  - Reduction of rank,
  - Dismissal (termination of employment with notice period),
  - Summary Dismissal (termination of employment without notice period).
- 4.3.8.5. Corrective Actions must be taken by the DO in compliance with the relevant University Policies and Tables of Authority and must follow due process.
- 4.3.8.6. Consultation with the HBKU Human Resources Directorate and further approval may be required prior to announcing the final decision to ensure compliance with university policies and due processes including compliance with the University Corrective and Disciplinary Action Policy.



|                   |   |         |             |   |
|-------------------|---|---------|-------------|---|
| Policy Owner:     | The Vice President for Research               |         |             | <div><div>جامعة<br/>حمد بن خليفة<br/>HAMAD BIN KHALIFA<br/>UNIVERSITY</div><div></div><div>عضو في المؤسسة<br/>Member of Qatar Foundation</div></div> |
| Responsible Unit: | The Office of the Vice President for Research |         |             |   |
| Policy Name:      | Research Misconduct Policy                    |         |             |   |
| Policy ID Code:   | RE EC.03.009                                  | Rev. 00 | Page 7 of 9 |   |

4.3.8.7. HBKU shall also have the right to take administrative steps such as informing all parties involved, including co-authors, co-investigators or research collaborators; editors of the journals in which the work has been published; funding agencies and organizations with which the Respondent has been associated; and professional societies with which the Respondent has been associated.

4.3.8.8. The DO decision will be communicated by the RIO to all parties within five (5) working days.

#### **4.4. Notice Requirements**

##### **4.4.1. Notice to Respondent**

4.4.1.1. The RIO shall provide written notification to the Respondent of:

- The allegation(s) of Research Misconduct and any new Allegations identified during the Research Misconduct proceedings;
- The beginning of the investigation process;
- The membership of the Committee conducting the Research Misconduct proceedings, except when a Committee member requests anonymity;
- The results of the Preliminary Assessment, Investigation, and appeal (if any).

##### **4.4.2. Notice to Other Stakeholders**

4.4.2.1. The RIO shall provide written notification to all internal and external stakeholders who need to know the outcome of the Research Misconduct proceedings. These may include, but are not limited to:

- The Complainant;
- Dean or Executive Director of the Respondent;
- HBKU Human Resources;
- Applicable funding or sponsoring agencies;
- Law enforcement agencies;
- Collaborators of the Respondent;
- Relevant journals in which falsified reports may have been published;
- Any other relevant party.

#### **4.5. Appeal**

4.5.1. The Respondent shall have the right to appeal the DO's decision to the VPR within 15 calendar days of receiving the formal notification of the DO decision with regard to:

- the findings of Research Misconduct; and/or
- the imposed Corrective Actions.

4.5.2. The VPR may request that the DO establish a new Committee to further review the case following the appeal. The new Committee, that may include members of the previous Committee, shall provide its recommendation to either uphold the initial decision or to change it by changing one or more of the findings and/or the recommended actions.

4.5.3. The decision of the VPR shall be final in all respects and the Respondent shall have no further right of appeal.


#### **4.6. Implementation**

4.6.1. The Human Resource Directorate and/or relevant HBKU Entities shall promptly and effectively implement the final decisions resulting from Research Misconduct proceedings conducted under this Policy, or any subsequent appeal.

#### **4.7. Confidentiality**

4.7.1. All Research Misconduct reviews, Preliminary Assessments, and Investigations will be conducted in a manner that will maintain the confidentiality of the Research Misconduct proceedings.

4.7.2. The RIO, all Committee members, and all other members of HBKU Community who may be

|                   |   |         |             |   |
|-------------------|---|---------|-------------|---|
| Policy Owner:     | The Vice President for Research               |         |             | <div><div>جامعة<br/>حمد بن خليفة<br/>HAMAD BIN KHALIFA<br/>UNIVERSITY</div><div></div><div>عضو في المؤسسة قطر<br/>Member of Qatar Foundation</div></div> |
| Responsible Unit: | The Office of the Vice President for Research |         |             |   |
| Policy Name:      | Research Misconduct Policy                    |         |             |   |
| Policy ID Code:   | RE EC.03.009                                  | Rev. 00 | Page 8 of 9 |   |

involved in a Research Misconduct proceeding must maintain confidentiality and comply with the confidentiality requirements.

- 4.7.3. Knowledge about the identity of parties involved in a Research Misconduct proceeding shall be limited to those who need to know.
- 4.7.4. All information, Research Records, or evidence related to Research Misconduct proceedings shall be kept confidential and the disclosure limited to those who need to know.
- 4.7.5. Any inappropriate dissemination of information related to Research Misconduct proceedings may result in Corrective Actions up to and including summary dismissal (employment termination without notice period).

#### **4.8. Protection Against Retaliation**

- 4.8.1. HBKU community members may not retaliate in any way against Complainants, Witnesses, RIO, DO or Committee members. Any alleged or apparent retaliation must be reported immediately to the VPR and the immediate supervisor who, in consultation with HR, shall review the matter and, as necessary, make all reasonable and practical efforts to counter any potential or actual retaliation as per the HBKU Anti-Retaliation Policy to protect and restore the position and reputation of the person against whom the retaliation is directed.

#### **4.9. Conflict of Interest**

- 4.9.1. It is the duty of the RIO to ensure, that the investigation is conducted fairly and that the members selected to work on the case including the Preliminary Assessment or Investigation officers and members of the Committees do not have any actual or apparent Conflicts of Interest, are unbiased, and have an adequate background to the evaluation of the issues posed.


##### **4.9.2. Committee's Conflict of Interest**

- 4.9.2.1. A Committee member shall disclose to the RIO all apparent or perceived Conflicts of Interest or circumstances, which may reasonably be perceived as creating a Conflict of Interest with the Respondent. The disclosure shall be made when the Conflict of Interest arises, or when it is recognized that a Conflict of Interest may be perceived.
- 4.9.2.2. When the Committee's membership does not require anonymity, and the Respondent deems a Conflict of Interest exists with a Committee member, he/she may file a written objection to the RIO, providing justification for the existence of such conflict.
- 4.9.2.3. The final determination of whether a Conflict of Interest exists rests with the DO.
- 4.9.2.4. If the DO, in consultation with RIO, determines that a Conflict of Interest exists between a Committee member and those involved with the Research Misconduct proceeding, said Committee member shall recuse himself/herself from the Committee membership.
- 4.9.2.5. To avoid Conflict of Interest and to ensure that the Committee includes members with the required expertise, the DO may consult with the VPR to seek VPR approval to appoint a Committee member from outside HBKU.

##### **4.9.3. Conflict of Interest with University Officers**

- 4.9.3.1. If the Respondent deems a Conflict of Interest exists with the RIO, he/she may file a written objection to the DO, providing justification for the existence of such conflict. In such case, the final determination of whether a Conflict of Interest exists rests with the DO. If a Conflict of Interest exists, the DO shall appoint another qualified individual to serve as interim RIO.
- 4.9.3.2. If the Respondent deems a Conflict of Interest exists with the DO to whom the VPR delegated authority to decide on Research Misconduct, he/she may file a written objection to the VPR, providing justification for the existence of such conflict. In such case the final determination of whether a Conflict of Interest exists rests with the VPR. If a Conflict of Interest exists, the VPR shall appoint another qualified individual to serve as interim DO.



|                   |   |         |             |   |
|-------------------|---|---------|-------------|---|
| Policy Owner:     | The Vice President for Research               |         |             | <div><div><div>جامعة<br/>حمد بن خليفة<br/>HAMAD BIN KHALIFA<br/>UNIVERSITY</div><div></div></div><div><div>عضو في مؤسسة قطر<br/>Member of Qatar Foundation</div></div></div> |
| Responsible Unit: | The Office of the Vice President for Research |         |             |   |
| Policy Name:      | Research Misconduct Policy                    |         |             |   |
| Policy ID Code:   | RE EC.03.009                                  | Rev. 00 | Page 9 of 9 |   |

## 5. Associated Procedures, Guidelines, and Supporting Documents

Research Misconduct Procedure

Preliminary Assessment Report Template

Investigation Report Template

Research Misconduct Preliminary Assessment Committee Terms of Reference

Research Misconduct Investigation Committee Terms of Reference

## 6. References and Related Policies

Corrective and Disciplinary Action Policy

Complaint and Grievance Policy

Anti-Retaliation Policy

Code of Conduct

Conflicts of Interest Policy

Institutional Biosafety Committee (IBC)

Institutional Review Board (IRB)

## 7. Source, Responsible Office, Authority

This Policy and its associated Procedures and supporting documents were developed by the Office of the Vice President for Research and reviewed by College Deans, the Office of the Provost, The University Policy Committee, and the Office of Institutional Effectiveness.