

Research Integrity Funder Requirements Guidance Document: Wellcome Trust – At Application Stage

In addition to the below guidance, for existing grant holders, please also refer to the contract of your grant's terms and conditions for any additional or superseding potential requirements on these topics.

Please familiarise yourself with the Wellcome Trust Bullying and harassment policy and Research Misconduct policy:

<https://wellcome.ac.uk/funding/guidance/policy-bullying-and-harassment>

<https://wellcome.ac.uk/funding/guidance/research-misconduct>

Bullying and Harassment

1) *When an organisation submits a grant application to Wellcome Trust, they must confirm that the lead applicant (and sponsor and supervisor if relevant), has not had an allegation of bullying or harassment upheld against them for which there is either a current formal disciplinary warning or an active sanction. If they have, Wellcome may reject the application.*

Process: Assistant Finance Business Partner writes to the Head of School using the following template.

"Dear Head of School, as part of the approval and submission process the Wellcome Trust (WT) requires the University to confirm that the lead applicant (and sponsor and supervisor if relevant) has not had any allegation of research misconduct made against them nor any allegation of bullying or harassment upheld against them for which there is either a current formal disciplinary warning or an active sanction. If they have, the WT may reject the application. If you are aware of any upheld finding for the following employees can you please respond directly to Wellcome's Director of Grants a.fox@wellcome.ac.uk. If you are unsure for any employees, please check with the following expert teams – Faculty Head of HR Business Partnering for bullying and harassment and the Director of Legal Services for research misconduct (Secretarys-Office@bristol.ac.uk).

[list names of lead applicant, sponsor and supervisor if relevant].

We are working to a tight deadline; can you please confirm that this has been done via return email to me no later than [xx.xx.xxx].

Process: Where an applicant is not an employee of the University, the Wellcome terms and conditions will flow down via the contract process.

Process: Heads of HR Business Partnering to make sure Heads of School are always up to date with upheld cases and sanctions. This is especially important when Heads of School change or during interim cover.

2) *Make sure there is an equivalent policy in place at any sub-awardee organisation, if relevant.*

Process: RED Contracts to flow down in the Wellcome Trust terms and conditions in the subcontract or partnerships agreement highlighting their responsibilities as sub-awardees.

Research Misconduct

1) *Inform Wellcome's Director of Grants, in confidence, about any allegations of research misconduct made against employees at the organisation who are funded by Wellcome or have an application for*

funding under consideration. Information on the category of research misconduct and the investigation process must be provided. This should be done as soon as possible, and in any event no later than the point at which a decision is made to conduct an investigation, preliminary or otherwise. If there is a full investigation, the host organisation must tell Wellcome the name of the respondent, in confidence

2) *Keep Wellcome informed during the process of investigation of allegations of research misconduct. We may choose to send a representative to observe any formal inquiry. Investigations should conclude within one year of receiving the allegation.*

3) *Inform Wellcome of the outcome of the investigation as soon as it is known and provide us with the final investigation report.*

Process: When the decision is made to formally investigate an allegation of research misconduct, the Director of Legal Services should contact the relevant Head of School to confirm whether there are links to a Wellcome Trust grant. The Director of Legal Services then respond to Wellcome's Director of Grants directly at a.fox@wellcome.ac.uk.