

 GIG CYMRU NHS WALES Iechyd Cyhoeddus Cymru Public Health Wales	Name of Meeting Other (stated below) Knowledge, Research and Information Committee Date of Meeting 15 September 2026 Agenda item: 4.2
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Policy / Procedure Approval Report

Section 1 - Policy / Procedure Information

Policy / Procedure Title	Public Health Wales Research Misconduct Policy
Policy Lead	Elen de Lacy, Research Development and Strategy Lead
Lead Executive	National Director Research, Data and Digital
PHW / All Wales?	Public Health Wales
Date of last Review	2026
Is the current policy / procedure within review date?	Yes – the documents have been reviewed in 2026 and are being submitted for approval/publication following review.
Approving Body /Group	Knowledge, Research and Information Committee and Leadership Team.
Version Number	Policy: Version 4. Procedure: Version 3.

Section 2: Recommendation

APPROVE ☒	CONSIDER ☐	RECOMMEND ☐	ADOPT ☐	ASSURANCE ☐
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The Committee is asked to:

- **Consider** the information contained within the Research Policy and Equalities Health Impact Assessment
- Note that the Leadership Team endorsed the policy to the Committee and approved the Research Misconduct Procedure
- **Approve** the Research Misconduct Policy

Section 3 – Details of the Review:	
Background:	
Reason for review	The Research Misconduct Policy and Procedure have been reviewed as part of the 2026 policy review cycle and to reflect updated research integrity guidance and organisational governance requirements. The review also updates links, job titles, reporting routes and references to relevant organisational leads and regulatory bodies.
Description/Assessment	The policy and procedure are required to provide clear organisational arrangements for preventing, reporting, recording, investigating and responding to allegations of research misconduct involving Public Health Wales staff. The documents support compliance with the UK Policy Framework for Health and Social Care Research and align local processes with UK Research Integrity Office guidance. Implementation to date has been through the existing Research Misconduct Policy and Procedure, with oversight through established research governance structures. Monitoring is supported by notification to the Knowledge, Research and Information Committee of any allegations received and by recording concerns through DATIX in line with organisational governance requirements. The review has strengthened the documents by updating links and job titles, clarifying DATIX reporting requirements, adding clearer wording on staff wellbeing and research culture, strengthening data protection references, identifying relevant organisational leads and clarifying escalation routes to regulatory bodies, funders or sponsors where required.
Consultation	
Has this Policy / Procedure been through the appropriate 28 day consultation process?	Yes
Date range of consultation:	The documents have been reviewed during 2026. A standard 28-day consultation process has been completed or will be completed prior to final approval, with any material feedback reflected before publication.

Please provide details of any feedback received and outline what changes if any were made to the document as a result:	Feedback has informed updates to wording, references and governance routes. The revised procedure includes additional clarification on wellbeing and culture, data protection, DATIX reporting, relevant organisational leads and regulatory bodies in research. No substantive equality or health impact concerns were identified through the review.
Had this policy / procedure been considered by any other groups?	Yes
If so, please provide detail of any comments / feedback or amendments made to the documents as a result of this	The revised procedure was considered by the Research Evaluation and Strategic Oversight Group for comment in April 2026. Comments supported clarification of research governance, wellbeing, recording and escalation arrangements, which have been incorporated into the revised documents. The revised policy / procedure was considered by the Leadership Team at its meeting on 20th August. Feedback on the procedure has been incorporated around the following points: 1. Prevention mechanisms, training and R&D Office responsibilities for promoting research integrity. 2. Clarification of informal resolution and formal investigation thresholds. 3. Decision matrix to support consistent routing of concerns to informal resolution or formal investigation. 4. Appeals mechanism for respondents where research misconduct is upheld in full or in part. 5. Staff wellbeing support and signposting during the research misconduct process.
(Add detail)	No further amendments are required at this stage other than final approval, publication and implementation through the normal policy cycle.

Section 4: Impact Assessments

Equality and Health Impact Assessment	An Equality, Welsh Language and Health Impact Assessment has been completed. The assessment did not identify any significant adverse equality or health impacts. The revised documents support a fair, proportionate and consistent approach to managing research misconduct concerns and strengthen arrangements for confidentiality, wellbeing, data protection, reporting, escalation and organisational learning.
Welsh Language Impact	The Policy / Procedure will be translated to Welsh and available on the intranet bilingually as required in the Welsh Language Standards.
Risk and Assurance	The policy and procedure support organisational assurance by strengthening governance arrangements for research integrity. They help reduce the risk of inconsistent handling of research misconduct concerns, failure to protect participants or staff, non-compliance with research governance expectations, and reputational damage arising from unmanaged or poorly managed allegations.
Health and Social Care (Quality and Engagement) (Wales) Act	The documents support the Duty of Quality by promoting robust research governance, transparency, learning and proportionate action where concerns arise. They also support openness and accountability by setting out clear reporting, investigation and escalation arrangements, while maintaining confidentiality and fairness for those involved.
Financial implications	There are no direct financial implications arising from approval of the revised policy and procedure. Any costs associated with individual investigations would be managed through existing organisational governance, human resources, finance and research management arrangements.
People implications	There are no direct workforce implications requiring additional resource. The revised procedure recognises that misconduct processes may affect the wellbeing of those involved and includes clearer arrangements for considering appropriate staff support, confidentiality and fair treatment throughout the process.
Socio Economic Duty	No specific implications for the Socio-economic Duty have been identified. The policy and procedure are internal research governance documents and do not directly change services or population-facing interventions.

Section 5 - Implementation

Implementation plan (with timescales)		
Next steps	Responsible officer(s)	
Submit the revised policy, procedure and EqHIA for consideration and final approval through the appropriate governance route.	Following Senior Leadership Group consideration	Policy Lead / Research Development and Strategy Lead
Publish the approved documents on the Public Health Wales policy intranet and ensure bilingual availability in line with Welsh Language Standards.	Following approval	Policy Lead / Board Business Unit
Communicate the revised documents to relevant research, governance, People and Organisational Development, Finance, Information Governance and quality leads.	Within one month of publication	Policy Lead / Research and Evaluation team
Monitor use of the procedure through established routes, including notification of any allegations to the Knowledge, Research and Information Committee and recording through DATIX.	Ongoing	Named Person / Policy Lead / KRIC

Section 6 – Dissemination

Following approval, the Research Misconduct Policy and Procedure will be published on the Public Health Wales policy intranet and made available bilingually. Communication will be targeted to relevant research, governance, People and Organisational Development, Finance, Information Governance and quality leads to ensure awareness of the revised reporting, recording, investigation and escalation arrangements. The documents will also be referenced through research governance routes and monitored through the normal policy review cycle.