

Approaches to Case Handling

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Factors that affect case handling include:

1. The type of organisation with responsibility
2. Where cases arise
3. Severity of the case
4. How allegations are made
5. Whether admitted or contested
6. The parties involved
7. Other pressure e.g. to minimise impact

1 Organisations that might be responsible include

- A university
- A public or private hospital
- A funding body
- An independent research organisation
- A commercial organisation
- An individual
- Other
- Any combination of the above

2 Cases may arise

- In a university
- In a public or private hospital
- In a funding body
- In an independent research organisation
- In a commercial organisation
- Through an individual acting alone
- Any combination of the above

3 The severity of the case

- May require arrest of the respondent and immediate criminal investigation
- Suspension of the respondent, seizure of records and regulatory and professional body investigation
- Restriction of the respondent and thorough investigation by national body or employer
- Project suspension and thorough investigation by national body or employer A funding body
- thorough investigation by national body or employer
- Reprimand for the complainant for a frivolous complaint

4 How they arise

- Whistleblower to the media
- Whistleblower to respondents employer
- Whistleblower to a national body or funder
- Identified by internal audit or process
- Exposed by peer review
- Linked to an investigation of other misconduct

5 Admitted or Contested

- Burden of proof
- To prove intent
- Available evidence (destroyed)
- Protracted investigation
- Standard
 - Beyond reasonable doubt
 - Balance of probabilities

6 Parties involved

- One respondent
- More than one respondent
- Those that might suppress

6 Parties involved

- Employers
- Partners
(public/commercial/international)
- Funders (public/commercial/national)
- Funders
(public/commercial/international)

7 Other pressures which might influence the approach to handling cases

- Incentives
 - To minimise impact on an organisation
 - To protect an individual
 - To protect funding

Handling Cases

- Complex with many factors
- High Profile – Media and International
- Unlikely a that single approach applicable to all
- National and local approaches
- Balance to see fair and open review of the facts and treatment of individuals

National approach

- Standardised
- Overt/clarity
- Impartial
- International links
- Management

- Protracted
- Bureaucratic
- Not sensitive

Local approach

- Tailored
- Protected
- Speed

- Non standard
- Less overt
- Errors