Referrals of Research Misconduct

Submit allegations to RIO
(falsification, fabrication, plagiarism in research)

Within 7 days RIO performs assessment of allegation

Is allegation within definition of misconduct in research?

Does allegation warrant inquiry?

Refer to appropriate university unit

Non-sponsored research and respondent is either staff, graduate student, or undergraduate student

Undergraduate Honor System

Graduate Honor System

Committee on Faculty Ethics

Not sufficiently credible and specific
End

Yes

No

Yes

No

Yes

No

Yes

No
PROCEDURE FOR RESPONDING TO ALLEGATIONS OF MISCONDUCT IN RESEARCH

RIO initiates Inquiry Process
- Resolve conflicts of interest within the committee

RIO convenes Inquiry Committee
- 1 standing member
- 1 CFE member
- Members and experts as appointed by RIO for the case

Inquiry Committee initiates inquiry process
- Interviews
- Examine research records
- Evaluate evidence

Prepare Initial Inquiry Report
- Review by RIO for compliance with policy
- Modification as appropriate in consultation with RIO

Obtain custody
Provide written notification
Within 10 days

Research records
Respondent

RIO charge to committee
- Brief on allegation
- Plan on Inquiry

Objection to members (within 10 days)
Provide written notification

60 calendar days for completion

RIO initiates Inquiry Process

Respondent
PROCEDURE FOR RESPONDING TO ALLEGATIONS OF MISCONDUCT IN RESEARCH

Report to Include
- Name and position of Respondent
- Description of allegations
- Contract/funding source information
- Basis for recommendation including list of research records reviewed
- Attach Respondent’s and Complainant’s comments
- Name and titles of committee members
- Whether any action should be taken in investigation not recommended

10 days for comments

Respondent review

Discuss comments on report
(Inquiry Committee, RIO, and DO)

No Investigation
- Retain records for 7 years
- Provide notices
- Provide guidance to Respondent if needed

Is investigation warranted?
(majority vote of Inquiry Committee)

Prepare Final Inquiry Report

Within 60 days of start of inquiry process unless extension is granted

Yes

Revise Initial Inquiry Report
(if required)

No

Complainant review

10 days for comments

Yes

Provide guidance to Respondent as needed

Within 60 days of start of inquiry process unless extension is granted

No

Provide notices

Yes

Respondent

Review

10 days for comments

No
PROCEDE FOR RESPONDING TO ALLEGATIONS OF MISCONDUCT IN RESEARCH

Federal funding agency
- Decision to begin
- Copy of report
- Other information as requested

Secure additional records and evidence

Notify Respondent
- Allegations to be investigated as a result of inquiry
- New allegations to be investigated within scope of initial allegations

Provide written notification

Begin Investigation within 30 calendar days

RIO Convenes Investigation Committee
- 1 standing member
- 1 CFE member
- Members and experts as appointed by RIO for the case
- Resolve conflicts of interest within the committee

Provide written notification

Objection to members (within 10 days)

Investigation Committee initiates investigation process

Pursue investigation
- Interviews
- Examine of research records and evidence
- Pursue relevant new issues and leads

RIO charge to committee
- Brief on allegation
- Discuss procedures and requirements

Respondent

Provide written notification

Notify Respondent
- Allegations to be investigated as a result of inquiry
- New allegations to be investigated within scope of initial allegations

Federal funding agency
- Decision to begin
- Copy of report
- Other information as requested

Secure additional records and evidence

Notify Respondent
- Allegations to be investigated as a result of inquiry
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Begin Investigation within 30 calendar days

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- 1 standing member
- 1 CFE member
- Members and experts as appointed by RIO for the case
- Resolve conflicts of interest within the committee

Provide written notification

Objection to members (within 10 days)

Investigation Committee initiates investigation process
- Interviews
- Examine of research records and evidence
- Pursue relevant new issues and leads

RIO charge to committee
- Brief on allegation
- Discuss procedures and requirements

Respondent

Provide written notification

Notify Respondent
- Allegations to be investigated as a result of inquiry
- New allegations to be investigated within scope of initial allegations

Secure additional records and evidence

Notify Respondent
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Begin Investigation within 30 calendar days

RIO Convenes Investigation Committee
- 1 standing member
- 1 CFE member
- Members and experts as appointed by RIO for the case
- Resolve conflicts of interest within the committee

Provide written notification

Objection to members (within 10 days)

Investigation Committee initiates investigation process
- Interviews
- Examine of research records and evidence
- Pursue relevant new issues and leads

RIO charge to committee
- Brief on allegation
- Discuss procedures and requirements

Respondent

Provide written notification
PROCEDURE FOR RESPONDING TO ALLEGATIONS OF MISCONDUCT IN RESEARCH

Respondent review

Plus copy of (or supervised access to) evidence

Provide comments within 30 days

Draft Investigation Report

• Describes allegations
• Identifies respondent
• Identifies and summarizes research records and evidence
• Describes and documents any federal support
• Describes policy and procedures used
• Statement of findings for each allegation
• Recommendations for corrective actions

Discuss comments on report (Investigation Committee, RIO, and DO)

Complainant review

Plus copy of (or supervised access to) evidence

Provide comments within 30 days

Prepare Final Investigation Report

Is there misconduct in research?

Committee findings
(Positive or Negative) (majority vote)
PROCEDURE FOR RESPONDING TO ALLEGATIONS OF MISCONDUCT IN RESEARCH

Within 120 days of start of investigation

Notice to Respondent and Complainant

Within 10 days

DO final determination
(Findings and administrative and corrective actions)

Within 120 days of start of appeal

Final decision

DO review

File appeal process

RIO review

DO determination

Appeal

Procedural Noncompliance

Recommendations to Investigation Committee and DO

Faculty Review Committee or appropriate grievance procedure

No appeal
PROCEDURE FOR RESPONDING TO ALLEGATIONS OF MISCONDUCT IN RESEARCH

Final decision (continued)

Institutional administrative action

- No misconduct
  - Restoration of respondent’s reputation

- Misconduct
  - Appropriate administrative and corrective actions
    - Withdrawal or correction of publications
    - Removal of person from project
    - Restitution to sponsor
    - Other internal institutional actions
  - Protections of complainants, witnesses, and committee members

RIO provides written notifications

- Notice to other sponsors
- Respondent
- Others as appropriate (paper, magazine)
- Complainant
- Within 120 days of start of investigation or appeal process
  - Notice to federal agency
    - Final Investigation Report with attachments
    - Statement of whether institution accepts findings (or outcomes of appeal)
    - Statement of whether institution found misconduct
    - Description of any pending or completed administrative and corrective actions