Procedures for Responding to Allegations of Misconduct in Research

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?

Not sufficiently credible and specific

Within definition of Research Misconduct

Review with standing member of Inquiry Committee

Research Records Obtain Custody

RIO Initiates Inquiry Process Provide written notification Respondent

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

Provide written notification objection to members (within 10 days)

Respondent

Resolve conflicts of interest within committee

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

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

Undergraduate Honor System

Graduate Honor System

Committee on Faculty Ethics

Non-sponsored research and Respondent is either:
Classified or University staff
Graduate students
Undergraduate students

Within 10 days Does allegation warrant inquiry?

Within definition of Research Misconduct

Yes

No

Not sufficiently credible and specific

Review with standing member of Inquiry Committee

Dismiss Allegation

Undergraduate Honor System

Graduate Honor System

Committee on Faculty Ethics

Complainant

Anonymous

VT Official

HHS or Other Sponsor
Revise Initial Inquiry Report (if required)

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 if investigation not recommended

Respondent Review

Complainant Review

10 days for comments

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

Is Investigation Warranted? (Majority vote of Inquiry Committee)

Prepare Final Inquiry Report

Prepare Final Inquiry Report

No

Investigation

Retain records for 7 years

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Provide notices

Provide guidance to Respondent if needed

Yes

Prepare Final Inquiry Report

Office of Research Integrity (ORI)

- Decision to begin
- Copy of report
- Other information as requested

Provide Written Notification

Secure Additional Records & Evidence

Begin Investigation Within 30 calendar days

Respondent

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

RIO Convenes Investigation Committee

- 2 standing members
- 1 CFE member
- Members and experts as appointed by RIO for the case

Investigation Committee Initiates Investigation Process

Pursue Investigation

- Interviews
- Examination of research records and evidence
- Pursue new issues and leads discovered that are relevant

Respondent

Provide written notification

RIO charge to committee

- Brief on Allegation
- Discuss procedures and requirements

Resolve conflicts of interest within committee

No Investigation

Provide written notification

objection to members (within 10 days)
Draft Investigation Report

Discuss Comments on Report (Investigation Committee, RIO and DO)

Prepare Final Investigation Report

Is there Misconduct in Research?
Committee findings (Positive or Negative) (majority vote)

DO Final Determination (Findings and administrative actions)

Notice to Respondent and Complainant

File Appeal

President for review and decision

DO, RIO, Investigation Committee, and others

Consult

Do Final Determination

Final Decision

Respondent Review

Provide comments within 30 days

Complainant Review

Provide comments within 30 days

- Describes allegations
- Identifies respondent
- Identifies & summarizes research records & evidence
- Describe and document any federal support
- Describe policy and procedures used
- Statement of findings for each allegation

+ copy of (or supervised access to) evidence
Final Decision (continued)

Institutional Administrative Action

- No Misconduct
- Misconduct

RIO Provides Written Notifications

- Notice to other sponsors
- DO Determination

- Notice to ORI (Within 120 days start of investigation or appeal process)

- Respondent
- Complainant
- Others as appropriate (paper, magazine)

Restoration of Respondent Reputation

- Appropriate administrative actions

Protections of Complainants, witnesses, and committee members

- Withdrawal or correction of publications
- Removal of person from project
- Restitution to sponsor
- Other internal institutional actions

No Misconduct

Misconduct

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 action