Process for Reviewing Research Misconduct Activities

Office of Research Integrity and Compliance (ORIC) | September 2023

Allegation Stage (7 Calendar Days)

Allegation Received

Allegation warrants an inquriy

- No → **No Inquiry**
- Yes → RIO notifies the following that allegation will move to inquiry:
  - Vice President for Research (VPR)
  - Associate VP for Research Integrity & Compliance (AVPRIC)
  - Office of General Counsel (OGC)

Sequestration Stage (Goal: 7 Calendar Days)

Create Sequestration Plan

RIO notifies and collaborates with following:
- University Forensics IT
- Applicable department/college IT (as needed)

Sequester Data and Information (before or immediately after notifying respondent(s))

RIO Provides Notification of Allegation(s) and Forthcoming Inquiry

RIO sends notification to following:
- Respondent(s)
- VPR
- AVPRIC
- OGC
- Cognizant Dean
- Cognizant Department Chair

Inquiry Committee Seating (Goal: 15 Calendar Days)

Goal: 10 Calendar Days

Appoint Inquiry Committee (One to Five Individuals with One Chair)

Provide Inquiry Committee Membership to Respondent(s)

5 Calendar Days

Object to Any of the Committee Members

- Yes → **Identify an Alternate Committee Member** → back to **Provide Inquiry Committee Membership to Respondent(s)**
- No

Inquiry Stage (60 Calendar Days)

60 Calendar Days

50 Calendar Days

Inquiry Committee Seated & Charged; Completes Review; Issues Written Report

Report provided to the following:
- Respondent
- AVPRIC
- Office of Research Integrity Officer (RIO)
- OGC
- Complainant (optional, at RIO & OGC discretion)

10 Calendar Days

Respondent(s) (and/or Complainant) Comment on Inquiry Report

RIO sends final report with respondent(s) comment to:
- VPR
- AVPRIC
- OGC
- Cognizant Dean
- Cognizant Department Chair

Investigation is Warranted

- No → **No Investigation**
- Yes

Investigation Notifications and Committee Seating (Up to 30 Calendar Days)

30 Calendar Days

Provide Notification of Forthcoming Investigation

RIO sends official notification to the following:
- Respondent
- VPR (may notify SVPAA, SVPHS, and/or President)
- AVPRIC
- OGC
- Cognizant AVP for Faculty Affairs (Main vs. Health Sciences) or Vice Dean for Faculty (SOM)
- As needed: EHS (lab closure, toxins, DEA license), OCM, HHRP, etc.
- If federally funded: applicable federal agency (e.g., NIH, NSF, etc.)
- If PHS funding: Office of Research Integrity (ORI)

Appoint Investigation Committee (Three to Five Individuals with One Chair)

Provide Investigation Committee Membership to Respondent(s)

5 Calendar Days

Object to any of the Committee Members

- Yes → **Identify an Alternate Committee Member** → back to **Provide Investigation Committee Membership to Respondent(s)**
- No

Investigation Stage (134 Calendar Days)

Investigation Committee Seated/Charged and Begins Investigation

120 Calendar Days

110 Calendar Days

Investigation Committee Completes Investigation and Issues Written Report

Report provided to the following:
- Respondent(s)
- AVPRIC
- RIO
- OGC
- Complainant (optional, at RIO & OGC discretion)

10 Calendar Days

Respondent(s) (and/or Complainant) Response to Report

RIO sends final report with respondent(s) comment to:
- VPR (may notify SVPAA, SVPHS, and/or President)
- AVPRIC
- OGC
- Cognizant Department Chair
- Cognizant Dean
- Cognizant AVP for Faculty Affairs (Main vs. Health Sciences) or Vice Dean for Faculty (SOM)
- If federally funded: applicable federal agency
- If PHS funding: ORI

Research Misconduct Investigation Findings

- No → **No Finding of Research Misconduct**
- Yes → **Finding(s) of Research Misconduct**

Up to 14 Calendar Days

VPR Issues Written Letter Re: Follow-up Action/ Sanction(s) for Respondent

VPR sends letter to:
- Respondent
- RIO
- AVPRIC
- OGC
- Cognizant Department Chair
- Cognizant Dean
- SVPAA, SVPHS, President (as needed)

RIO sends copy to:
- If federally funded: applicable federal agency
- If PHS funding: ORI
- Follows-up with EHS, OCM, HRPP, as needed

Respondent(s) Appeals (Within 10 Calendar Days)

Optional

Respondent(s) Appeals and Requests a Formal Hearing on Sactions (Senate Consolidated Hearing Committee)