Step 1: Reporting Allegation

3.1-3.3) RIO receives the allegation.

6.1) RIO decides if Inquiry is warranted.

Yes Inquiry

6.2) RIO consults with VPR on Inquiry decision and protocol.

No Inquiry

6.2) RIO sequesters records and evidence before or at the time when Respondent is notified.

6.2) RIO notifies President of decision and sends a summary of Allegation.

6.1) Inquiry is warranted if Allegation:
1. falls within the definition of Research Misconduct
2. is made against person whom this policy applies
3. is sufficiently credible that potential Evidence of Research Misconduct may be identified.

6.3) RIO notifies the following Inquiry will take place:
1. Respondent
2. Complainant
3. President

Proceed to Inquiry
Step 2: Inquiry

6.4) RIO conducts Inquiry to determine if Investigation is warranted.

6.4) Investigation warranted if:
1. there is reasonable basis for concluding Allegation is Research Misconduct
2. Inquiry indicates Allegation may have substance

6.5) RIO prepares preliminary Inquiry report after completion of Inquiry.

6.6) RIO provides Respondent opportunity to comment on preliminary Inquiry report.

6.6) RIO attaches Respondent’s comments to Inquiry report and submits final report to President.

6.8) President consults with VPR on Investigation decision.

VPR Agrees

6.8) Matter is closed.

6.8) RIO notifies Respondent and Complainant.

6.8) All efforts will be undertaken to protect/restore the reputation of the Respondent.

No

Yes

6.9) RIO notifies Respondent and Complainant.

6.10) President sends Inquiry report to VPR

Proceed to Investigation

6.8) President consults with VPR and RIO on whether to refer case for Investigation.

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Step 3: Investigation

7.1) VPR receives Inquiry Report.

7.1) VPR appoints Investigation Committee.

7.6) VPR appoints Investigation Committee.

7.6) Committee prepares a draft Investigation Report.

Committee completes Investigation

7.7) Committee prepares a draft Investigation Report.

7.7) Committee decides whether Research Misconduct is found.

7.8) Committee submits Final Investigation report to VPR.

7.8) President notifies:
1. RIO
2. Respondent
3. Complainant on whether Research Misconduct occurred.

7.8) VPR discusses report with President.

7.11) Matter is closed.

No Misconduct

7.8) University may conduct disciplinary proceedings.

6.8) All efforts will be undertaken to protect/restore reputation of persons involved in Allegation.

6.8) University may conduct disciplinary proceedings.

11) RIO secures Inquiry documentation and evidence for 7 years.

11) Director for Research Compliance secures Investigation documentation for 7 years.

11) RIO secures Investigation documentation and evidence for 7 years.

11) Director for Research Compliance secures Investigation documentation for 7 years.

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