Policy Regarding the Disposition of Allegations of Misconduct in Research and Similar Activities

Step 1: Initial Evaluation

2.1) RIO receives the allegation.

2.2) Does the allegation fall within the definition of misconduct?
   - No action taken.

   Is the allegation sufficiently credible and specific so evidence can be evaluated?
   - No action taken.
   - Yes

   RIO notifies:
   A) President
   B) University Dean

   If research is sponsored, RIO notifies President of RF.

   RIO conducts evaluation of allegations.

   RIO makes a recommendation on Initial Evaluation to President.

   RIO notifies subject and sequesters data as soon as possible.

   RIO plans sequestration of data in consultation with experts in the field.

   President consults with RIO and University Dean.

   If research is sponsored, President consults with President of RF.

   2.5) RIO notifies Subject and University Dean.

   President's decision on whether to begin Inquiry:
   - Yes
   - No
      - No Inquiry
      - RIO notifies subject

   If research is sponsored, RIO notifies President of RF.

   RIO prepares summary for use in Inquiry.

   RIO provides summary to:
   A) President
   B) University Dean
   C) President of RF if applicable
   D) Subject

   Proceed to Inquiry
Step 2: Inquiry

From Initial Evaluation

President appoints inquiry staff.

Inquiry staff determines whether allegations fall within definition and whether there appears to be substance to the allegations.

The report is sent to:
A) President
B) University Dean
C) if appropriate, President of RF

Subject is notified of decision in writing.

President determines whether Investigation is warranted:

Yes

Inquiry staff prepares a final report.

Subject will be notified in writing and will receive a copy of the report.

RIO will notify the person(s) making the allegation, and will provide relevant portions of the Inquiry Report.

Proceed to Investigation.

No

Requested and appropriate measures are taken to restore the reputation of Subject.

Matter is closed.
Step 3: Investigation

1. University Dean appoints Investigation Committee.
2. RIO provides training to the Investigative Committee.
3. The Committee prepares a draft Investigation Report.
4. Committee reviews comments made by the subject and by the person who made the allegations.
5. The Committee may also give relevant parts of the report to the person making the allegations for their comments.
6. Subject is given the opportunity to review and comment on the report.
7. Committee decides whether to make a finding of Misconduct:
   - Yes: Chancellor decides whether to accept the Committee’s recommendation.
   - No: The Committee notifies:
     A) President
     B) RIO
     C) University Dean
     D) Individual making allegations
     E) If applicable, President of the RF.
   
9. Report and comments are sent to the Chancellor.
10. Chancellor decides whether to accept the Committee’s recommendation.
11. Chancellor will notify Investigative Committee of decision.

4.6) Report and comments are sent to the Chancellor.
4.7) Committee makes its final Investigation Report.
4.8) If the research was sponsored, the University Dean will give the sponsor and the President of the RF:
   A) A copy of the Investigative Report with all attachments
   B) A statement of whether misconduct was found
   C) A statement of whether the University accepts the findings of the Investigation.
   D) A description of any pertinent administrative action by any federal agency against the subject.

4.10) Matter is closed.
4.11) There may be disciplinary procedures in accordance with collective bargaining agreement.

RIO follows up on disciplinary procedures and makes sure data remains sequestered for 7 years.