**RESEARCH INTEGRITY OFFICERS**

**ALLEGATIONS OF RESEARCH MISCONDUCT IN PHS-FUNDED RESEARCH**

**PREPARE**

Know your policies and establish procedures for handling allegations and whistleblower protections before you have a case.

Coordinate with your institution's general counsel, IT, PR, security, and other compliance offices.

Be ready to handle allegations.

**NOTIFY**

- Inform ORI:
  - Before an investigation begins. §93.304(d)
  - Before closing a case. §93.316(a)
  - When exigent circumstances arise. §93.318

- Notify respondent in writing:
  - At the time of or before beginning an inquiry. §93.307(b)
  - If an investigation is warranted. §93.308(a)
  - Describing the allegations before the investigation begins. §93.310(c)
  - Describing all new allegations that may arise. §93.310(c)

**RESPONDENT**

Uphold respondent's right to respond to allegations.

**SEQUESTER**

At the time of or before beginning an inquiry:

- Promptly take all reasonable steps to obtain custody of relevant research records and evidence.
- Inventory and sequester the records and evidence in a secure manner. §93.307(b)

Maintain confidentiality to protect respondents, complainants, and research subjects. §93.304(a)

Prevent unresolved conflicts of interest. §93.304(b)

Protect complainants, witnesses, and committee members from retaliation. §93.304(l)

Ensure fair proceedings and safeguard the rights of those involved.

**SCOPE**

Determine if research misconduct extends beyond the initial allegation(s).

**INQUIRIES**

If an INVESTIGATION is warranted...

Begin Investigation & Notify ORI

- Complete within 60 days §93.307(g)
- Complete within 30 days §93.309(a)
- Complete within 120 days §93.311(a)

**TIME LINES**

**IS THERE ENOUGH EVIDENCE FOR A FINDING?**

1. Is there a significant departure from accepted practices of the relevant research community?
2. Was the misconduct committed knowingly, intentionally, or recklessly?
3. Can the allegation be proven by a preponderance of the evidence?

**REMEMBER:** Research misconduct can occur while proposing, performing, reporting, or reviewing research.