**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.

**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)

Ensure proper oversight of proceedings

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)

**SCOPE**

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

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

1. Is there a significant departure from accepted practices of the relevant research community? §93.104
2. Was the misconduct committed knowingly, intentionally, or recklessly? §93.304(b)
3. Can the allegation be proven by a preponderance of the evidence? §93.304(l)

**PROTECT**

- 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)

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