



3. Policy

- a. RSCA Misconduct represents a breach of the standards of the University, sponsors, the public, and/or

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e RCO , on the behalf of and with the approval of the University President  
will initiate the inquiry process within ten (10) calendar days of receiving the





- vii. The panel will generate a draft investigation report that complies with any applicable federal or state regulations and will be reviewed by the Office of General Counsel for legal sufficiency.
- viii. An investigation shall ordinarily be completed within one hundred and twenty (120) days of the appointment of the panel, unless an extension of time has been granted by the University President and relevant funding agency, if applicable, for reasonable and necessary circumstances. This includes conducting the investigation, preparing the report of findings, submitting the report to the University President for developing an appropriate response, and submitting the report and intended response to the funding agency, where applicable.
- ix. If RSCA Misconduct is found, the University President will decide, with the help of the RICO and the Office of General Counsel as appropriate, what, if any, institutional administrative actions are appropriate, and will determine whether law enforcement agencies, professional societies, professional licensing boards,

- iii. The RICO will monitor the treatment of complainants and witnesses to ensure that they are

documenting the questioned research is evidence of RSCA Misconduct where it is established by a preponderance of the evidence that both:

1. The respondent intentionally, knowingly, or recklessly had research records and destroyed them; had the opportunity to maintain the records but did not do so; or maintained the records and failed to produce them in a timely manner; and
  2. The respondent's conduct constitutes a significant departure from accepted practices of the relevant research community.
- iv. Upon request and where appropriate, copies of, or reasonable, supervised access to, the sequestered evidence will be provided to the respondent. Copies of sequestered evidence will also be provided upon request to the individual(s) who provided the original material to the RICO except for materials not amenable to copying.
  - v. Records of RSCA Misconduct proceedings, including the evidence, will be maintained by the RICO in a secure manner for seven (7) years after completion of University proceedings or, when related to external funds, the completion of any external proceedings involving the RSCA Misconduct allegation. Records of any corrective action taken by the University President shall be maintained in the employee's personnel records.

#### 5. Responsible Administrator

The Vice President for Research and Economic Development, successor, or designee is responsible for the annual and ad hoc review of this policy and procedures. The University President is responsible for approval of modifications to this policy.

SOURCE: Approved by President on 2/14/2020. Revised 01/31/2024 (clerical).