

Caltech Research Misconduct (RM) Proceeding

ALLEGATION

Allegation of Research Misconduct (Fabrication Falsification or Plagiarism)
Brought to the RIO¹ (or Institute) by Complainant

ASSESSMENT

RIO or his/her delegate (DC² or ACS³) assesses the allegation to determine whether the allegation, if true, would include conduct that meets the definition of research misconduct and whether the allegation is specific enough to identify potential evidence of research misconduct.

If yes, an Inquiry is warranted

RIO or delegate may initiate an Inquiry without a specific allegation if he/she feels it is necessary

If Allegation does not meet definition of research misconduct, DC or ACS provides counsel to the Complainant and tries to resolve through a satisfactory means other than RM Policy

INQUIRY

DC or ACS (or RIO) notifies Respondent and provides a copy of RM Policy

Records are sequestered. Interviews conducted.

DC/ACS determines whether the preliminary information gathering and fact finding indicate that there is a reasonable possibility that research misconduct may have occurred. If so, an Investigation is recommended.

60 days to complete

Draft Inquiry Report is issued to Respondent by DC or ACS. The Respondent is given an opportunity to respond. Response is considered and included in Final Inquiry Report.

Results in a Final Inquiry Report to RIO (Copy to Respondent)

If Inquiry determines an investigation is not warranted, the RM proceeding ends.

Respondent and Complainant are notified.

If Complainant is not satisfied that investigation is not warranted, may appeal to Provost or JPL Director within 10 days of notice.

If Respondent admits misconduct, then process can proceed to ADJUDICATION.

INVESTIGATION

RIO determines an Investigation is warranted and proposes, with the help of the DC/ACS an investigation committee (IC)

RIO notifies Respondent of allegations/committee; Respondent may comment on the suitability of members w/in 5 days of notice

RIO notifies relevant federal agencies or sponsors

RIO notifies Complainant whether Investigation is warranted

RIO provides IC with charge. IC determines whether a preponderance of the evidence proves that there has been a significant departure from accepted practices of the relevant research community and that the misconduct be committed intentionally, knowingly, or recklessly.

Records are sequestered. Interviews conducted. Investigate to Completion

Initiated w/in 30 days of determination. 120 days to complete.

Draft Investigation Report is provided to Respondent who is given 30 days to respond. Response is considered by IC and included in the Final Investigation Report.

Results in a Final Investigation Report to Provost/JPL Director (copy to Respondent)

ADJUDICATION

Provost/JPL Director accepts or rejects the finding of research misconduct and determines the appropriate institutional action. (The JPL Director or Chief Scientist will consult with the Provost regarding recommended actions)

Provost and DC (on campus) or JPL Chief Scientist and Director-for (at JPL) forward the Investigation Report to the President or the JPL Director along with recommended sanctions.

President/JPL Director decides appropriate actions.

RIO notifies Respondent and provides Respondent copy of Final Investigation Report and institutional action.

RIO notifies federal agencies or sponsors within 30 days of the determination.

¹ RIO= Research Integrity Officer

² DC= Division Chair

³ ACS= JPL Associate Chief Scientist