

3344-28-07 Notification and reporting requirements.

(A) Reporting to ORI

(1) The university's decision to initiate an investigation shall be reported in writing to the director of ORI where applicable, on or before the date the investigation begins. At a minimum, the notification should include the name of the person(s) against whom the allegations have been made, the general nature of the allegation, and the PHS (or other federal agency) applications or grant numbers involved. ORI also shall be notified of the outcome of the investigation. Any significant variations from the provisions of these institutional policies and procedures should be explained in any reports submitted to the ORI.

(2) If the university plans to terminate an inquiry or investigation for any reason without completing all relevant federal requirements, the research integrity officer shall submit a report of the planned termination to ORI, including a description of the reasons for the termination. ORI will then decide whether further investigation should be undertaken.

(3) If the university determines that it will not be able to complete the investigation in one hundred and twenty days, the research integrity officer shall submit to the ORI a written request for an extension and an explanation for the delay that includes an interim report on the progress to date and an estimate for the date of completion of the report and other necessary steps. If the request is granted, the research integrity officer will file periodic progress reports as requested by the ORI. If satisfactory progress is not made in the university's investigation, the ORI may undertake an investigation of its own or take other steps as appropriate.

(4) When public health service funding or applications for funding are involved and an admission of academic research misconduct is made, the research integrity officer must notify the ORI immediately for consultation and advice. Normally, the individual making the admission will be asked to sign a statement acknowledging the misconduct. When the case involves PHS funds, the university will not accept an admission of academic research misconduct as a basis for closing a case or not undertaking an investigation without prior approval by ORI.

(5) The research integrity officer shall keep ORI apprised of any developments during the course of the investigation that disclose facts possibly affecting current or potential Department of Health and Human Services (or other federal agency) funding for the individuals(s) under investigation or that the PHS (or other federal agency) needs to know to ensure appropriate use of federal funds and otherwise protect the public interest.

(6) The research integrity officer shall notify ORI at any stage of the inquiry or investigation when:

- (a) There is an immediate health hazard involved;
 - (b) There is an immediate need to protect federal funds or equipment;
 - (c) There is an immediate need to protect the interests of the person(s) making the allegations or of the individual(s) who is (are) the subject of the allegations as well as co-investigators and associates, if any;
 - (d) It is probable that the alleged incident is going to be reported publicly; or
 - (e) There is a reasonable indication of possible criminal violation.
- (7) In these instances, the research integrity officer must inform ORI within twenty-four hours of obtaining the information.
- (B) Notification of other involved individuals or parties when a final decision on the case has been reached by the both the respondent and the complainant in writing.

In addition, the research integrity officer shall determine whether law enforcement agencies, professional societies, professional licensing boards, editors of journals in which falsified reports may have been published, collaborators of the respondent in the work, or other concerned parties, should be notified of the outcome of the case. The research integrity officer is responsible for ensuring compliance with all notification requirements of funding or sponsoring agencies.

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