**Flow Diagram – For-Cause Investigations of Research Compliance Concerns**

### U Procedure: Preparing and Submitting a Report of a Research Compliance Concern

#### Preparing and Submitting

- Complainant submits written research compliance concern
- Discussion with Research Compliance Office (RCO)
- Discussion with Designee of Regulatory Committee
- Discussion with Director of Institutional Compliance

#### Review & Assessment

- RCO Intake
  - Designated Research Compliance Officer (DRCO) assigned
  - Conflict of Interest review completed
  - Case number assigned
- RCO Assessment
  - DRCO acknowledges receipt of case and provides case # to complainant
  - Interim Admin Actions (if needed, at any time)
  - Action Plan developed
  - Information gathered (including respondent if needed)
  - Subject matter expertise obtained
  - Assessment completed
  - Remand to investigation (if needed)
  - Outcome report drafted
  - Regulatory Committee action (if needed)

#### Investigative Panel (if needed)

- RCO Investigative Panel (if needed)
  - Complainant and respondent notified & provided procedure
  - Investigative panel convened
  - Charge provided to investigative panel
  - Investigation conducted by panel
  - Preliminary report prepared
  - Respondent reviews & comments
  - Final investigative panel report prepared
  - Regulatory Committee action (if needed)

### Final Steps

- VPR Review & Action (if needed)
- RCO Final Actions
  - Outcome report finalized
  - Complainant notified
  - Respondent notified
  - Documents archived
  - Case records closed
  - Any other notifications completed
  - Data recorded for accountability metrics
  - RCO monitors to make sure any specific corrective actions are completed

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**Use this method if you are unsure where to submit. The Office of Institutional Compliance will make sure your concern is directed to the right office**