



Allegation received by RIO

RIO considers whether:
 - the allegation falls within the definition of research misconduct as outlined in relevant DCU policies and procedures
 - that the allegation provides sufficient information and substance to initiate an inquiry

Deemed to have sufficient information and substance to proceed to next stage

The Complainant is notified in writing that an Inquiry process is being initiated

The Respondent receives a written notice that an allegation of research misconduct have been received and is being investigated against them

Stage 1: Fact-gathering exercise
 - Inquiry Panel appointed
 - Interviews and meetings held
 - Relevant research records and materials examined
 - Preliminary inquiry draft report prepared and shared with the Respondent and the Complainant for comments

Stage 1 Preliminary Inquiry Report finalised and submitted to RIO:
 - Inquiry Panel makes recommendation whether stage 2 investigation should be initiated

Allegation has substance, but the misconduct is insufficiently grave to warrant a full investigation

Matter is sufficiently serious to proceed to the next stage - Investigation

Case dismissed:
 - doesn't have sufficient information or substance to initiate an inquiry

Case dismissed:
 - matter falls under another DCU policy and/or procedure
 - referral to relevant office or department

Case dismissed:
 - poor practice
 - matter dealt with informally, through education and training in consultation with the Respondent's line manager

Stage 2 Investigation Report finalised and submitted to RIO:
 - The Report states whether allegations have been upheld in full, in part, or not upheld; and indicates the seriousness of misconduct
 - RIO and relevant institutional officials consider the report and adopt institutional decision

Stage 2: Investigation
 - Inquiry Panel is reconvened
 - Allegations are explored in detail
 - Evidence is examined in depth
 - Scope of investigation is broadened if additional instances of misconduct emerge
 - Whenever possible, the Complainant, the Respondent and other individuals with relevant information are interviewed

Allegations dismissed

Allegations upheld either in full or in part

Complainant may appeal

Respondent may appeal

Appeals Stage:
 - The Review Officer investigates if there are grounds for appeal
 - appeal upheld or dismissed

Institutional administrative actions are taken as appropriate

Appeals Stage:
 - The Review Officer investigates if there are grounds for appeal
 - appeal upheld or dismissed

End of process