

1. Sample Academic Integrity Investigation TO DO List

Investigation (some items occur concurrently)

- Screen and appoint investigation panel members
 - Collect cvs from them
- Prepare investigation panel charge letter
 - Seek Legal Counsel approval for letter
- Mail charge letter to panel
 - Include policy, panel orientation document, and inquiry information, if available
- Get temporary help, if necessary
- Discuss any needed monetary support for investigation with appropriate officials
- Prepare letter to subject initiating investigation
 - Seek Legal Counsel approval for letter
- Discuss case with Legal Counsel and Public Affairs:
 - Journal notifications
 - Agency notifications
 - Taping interviews
- Secure relevant data if not already secured during inquiry
 - Inventory all materials
 - Record all activities
 - Provide subject with receipts and copies of secured materials
 - Secure safe storage location evidence
- Mail (or hand deliver, if securing evidence) letter to subject initiating investigation
 - Enclose copy of academic integrity policy and procedures
- Prepare and send investigation notifications
 - External funding agencies
 - "Appropriate governmental offices"
- Make a phone/address list of relevant parties
- Begin preparation of panel notebooks
 - Inquiry
 - Background Information
 - Funding
 - Publications
 - Data inventory
- Start log of items distributed to panel
- Get complete list of all research funding of subject
- Obtain relevant personnel records
- Secure taping equipment for interviews

- Prepare committee meeting agenda
 - Provide orientation to policy, process
 - Review materials
 - Review & approve investigation plan
 - Interview subject
 - Interview other parties
 - Devise plan for scientific work
- Set up initial investigation meeting (time, location, etc.)
 - Leave time for panel to organize itself before any witnesses appear
 - Arrange for subject and/or initiator to be present for interviews
- Work with panel to draft and implement investigation plan:
 - Prepare chart of all people involved indicating title, reporting line, relevant relationships
 - Interview all involved persons; write up notes; submit for signature
 - Interview all who analyzed samples; write up notes; submit for signature
 - Arrange for re-analysis of samples
- Prepare list of any materials or information needed from any of the interviewees
 - Notify them in advance if possible
- Keep department head apprised of status of investigation
- Develop list of which samples to analyze; arrange for analysis
- Prepare questions for each interview (fill-in-the-blank interview sheets)
- Schedule interviews
- Conduct interviews
- Prepare statement for each interview
 - Provide draft statement of interview to each interviewee for comment
 - Collect comments on drafts
 - Obtain signature of interviewee on final statement
- Coordinate arrangements for people to do scientific work
- Arrange further meetings
- Discuss patent problem with Technology Transfer Office; seek advice from Legal Counsel if necessary
- Develop investigation report
 - Distribute copies to all required persons
 - Solicit comments
- Chancellor determines disposition of case
- Prepare and send journal and agency notifications
- Close out investigation
 - Prepare thank you letters for investigation panel and witnesses
 - Collect all materials from involved parties for sealing file
- Seal file