

Appendix D

Data Collection Instrument

Interviewer Name _____

Respondent Name _____

Institution Name _____

Phone Number _____

Date and Time _____

Identification Number _____

RIO Telephone Interview Guide About Discussions with Complainants

Hello (*respondent's name*), this is (*your name*) calling from RTI. I want to thank you for setting this time aside to talk with me about what you discuss with persons who are considering or have already decided to report research misconduct. The DHHS Office of Research Integrity (ORI) is interested in learning more about the information that potential and actual complainants seek and receive from Research Integrity Officers (or RIOs) when they initiate the process of making an allegation; while they are in the midst of the resolution process; and any kind of follow-up that is provided upon resolution of the case. ORI would like to learn from you the areas that need attention to develop educational material for RIOs and complainants.

You have been identified as the person with responsibility for carrying out the policies and procedures for handling research misconduct allegations at your institution. For this discussion, research misconduct includes falsification, fabrication, and plagiarism of research findings. Persons in this role are often referred to as RIOs. Are you the person doing that job at your institution?

Yes..... 1 [*Continue.*]

No..... 2 [*Do Not Continue. Identify the correct person [RIO] to contact.*]

As we indicated in our letter, this interview should take about 45 minutes to complete. Please note that your participation is voluntary and you may refuse to answer any question. Because we will keep your identity confidential, we believe there is minimal risk associated with your participation. On the other hand, potential benefits that may result from your participation may include opportunities for RIOs to receive helpful instruction in dealing with complainants.

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0990- . The time required to complete this information collection is estimated to average 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Health & Human Services, OS/OCIO/PRA, 200 Independence Ave., S.W., Suite 336-E, Washington D.C. 20201, Attention: PRA Reports Clearance Officer

Before we begin, I would like your permission to record our interview for accuracy in note-taking purposes. We will destroy the recording when the project is completed. I want to assure you that the information from the interview that we use to prepare our report to ORI will not contain material that can be used to identify you or your institution. Information from this interview will be reported aggregated with the responses of RIOs from about 100 other institutions. *[Await response for a moment, re-ask if needed, and turn on recorder if affirmative.]*

SECTION A. HOW RIO PREPARES FOR INITIAL MEETING WITH COMPLAINANTS/"POTENTIAL" COMPLAINANTS

(ALL RIOs GET ASKED THESE QUESTIONS)

This interview will focus on issues that RIOs interact with Complainants and "Potential" Complainants about -- the questions they raise and the information given.

By Complainants, I mean persons who came to you and actually made an allegation of research misconduct – falsification, fabrication or plagiarism – even if it did not result in an (inquiry or) investigation.

By "Potential" Complainants, I mean persons who contacted you with the *possibility* of making an allegation but who did not actually follow through. Instead they sought advice or asked questions about the conditions, process, or risks of reporting research misconduct.

Do you feel the distinction between Complainants and "Potential" Complainants is clear? *(Clarify further if needed, otherwise continue.)*

First, I'd like to ask you a few questions about your "protocol" for the encounter when you are first contacted by an actual or "potential" complainant.

1. Do you have a prepared script, outline, checklist, or talking points that you use when you meet with actual or "potential" complainants for the first time?

Yes.....1
 No.....2

2. In particular, what type of information do you cover or review with them *before* they decide whether or not to file an allegation of research misconduct?

(DO NOT READ RESPONSE CHOICES. CHECK YES FOR THOSE MENTIONED. SPECIFY OTHER CHOICES. (PROBE FOR ANY OTHERS.)

	1Yes	2No
2.1 Anonymity/Confidentiality.....	<input type="checkbox"/>	<input type="checkbox"/>
a. Ability to make anonymous allegations.....	<input type="checkbox"/>	<input type="checkbox"/>
b. Ability to remain anonymous throughout the process.....	<input type="checkbox"/>	<input type="checkbox"/>
c. Extent to which the details would/should be held confidential.....	<input type="checkbox"/>	<input type="checkbox"/>
d. Other (<i>Specify</i>) _____		
2.2 Resolution Process.....	<input type="checkbox"/>	<input type="checkbox"/>
e. Steps involved	<input type="checkbox"/>	<input type="checkbox"/>
f. Collection of evidence.....	<input type="checkbox"/>	<input type="checkbox"/>
g. Amount of time involved on the part of the complainant.....	<input type="checkbox"/>	<input type="checkbox"/>
h. Length of time required for the process to run its course.....	<input type="checkbox"/>	<input type="checkbox"/>
i. Other (<i>Specify</i>) _____		

	1Yes	2No
2.3. Institutional Support.....	<input type="checkbox"/>	<input type="checkbox"/>
j. Protection from retaliation.....	<input type="checkbox"/>	<input type="checkbox"/>
k. Provision of advisors to provide guidance.....	<input type="checkbox"/>	<input type="checkbox"/>
l. Job protection.....	<input type="checkbox"/>	<input type="checkbox"/>
m. Other (<i>Specify</i>) _____		
2.4 Potential Adverse Consequences.....	<input type="checkbox"/>	<input type="checkbox"/>
n Retaliation.....	<input type="checkbox"/>	<input type="checkbox"/>
o. Damages reputation/career.....	<input type="checkbox"/>	<input type="checkbox"/>
p. Damages relationships with colleagues.....	<input type="checkbox"/>	<input type="checkbox"/>
q. Transfer to another lab/job.....	<input type="checkbox"/>	<input type="checkbox"/>
r. Time-consuming.....	<input type="checkbox"/>	<input type="checkbox"/>
s. Stressful.....	<input type="checkbox"/>	<input type="checkbox"/>
t. Disrupts family/marriage.....	<input type="checkbox"/>	<input type="checkbox"/>
u. Other (<i>Specify</i>) _____		
3. Do you ever use the situations of complainants you've worked with or know about, and the adverse consequences they experienced as illustrations of the risks faced by complainants?		
Yes.....	1	
No.....	2	
4. Do you advise actual or "potential" complainants to read the institution's policies and procedures regarding research misconduct at your first contact?		
Yes Always.....	1	
Yes Usually/Often.....	2	
Not Usually/Often or Only Sometimes.....	3	
No Never or Rarely.....	4	
4a. Do you review the portions of the policy with them regarding reporting and resolving research misconduct?		
Yes.....	1	
No.....	2	
4b. Do you have a policy where you assign someone to serve as an advisor to complainants?		
Yes.....	1	
No.....	2	
4c. Do you ask them to speak in "hypotheticals" without using actual names?		
Yes.....	1	
No.....	2	
4d. Do you advise them that if they disclose information to you that you are obliged to follow up on it once the "cat is out of the bag", so to speak?		
Yes.....	1	
No.....	2	
4e. Do you explain that they must maintain confidentiality and that if they break confidentiality, their whistleblower protection is invalidated?		
Yes.....	1	
No.....	2	
4f. Do you make them aware that the institution's lawyers' job is to protect the institution's interests and not the complainants?		
Yes.....	1	
No.....	2	

5. Have you ever advised someone intending to make an allegation to go home and seriously think it over before making it?
- Yes.....1
No.....2

(If Yes, Ask:)

- 5a. Under what circumstances or conditions would you suggest that?
- a. Because of no witnesses
 - b. Because of no/little evidence
 - c. Because of adverse consequences that may result
 - d. Because of Respondent's reputation/stature
 - e. Other (*Specify*) _____

6. Have you ever tried to discourage a person from filing a formal allegation of research misconduct?
- Yes.....1
No.....2

(If Yes, Ask:)

- 6a. Under what circumstances or conditions would you do that?
- a. _____
 - b. _____
 - c. _____
 - d. _____

7. Have you ever tried to encourage a person to file a formal allegation of research misconduct?
- Yes.....1
No.....2

(If Yes, Ask:)

- 7a. Under what circumstances or conditions would you do that?
- a. _____
 - b. _____
 - c. _____
 - d. _____

8. Have you ever witnessed or heard about a complainant who, as a result of making an allegation:

	Witnessed	Heard	No
a. Lost his/her job?.....	1. __	2__	3__
b. Had his/her marriage end?	1. __	2__	3__
c. Was pressured into changing his/her career?	1. __	2__	3__
d. Was ostracized by his/her peers?	1. __	2__	3__
e. Had his/her professional reputation ruined?	1. __	2__	3__
f. Failed to advance in his/her career?	1. __	2__	3__
g. Was unable to obtain research funding?	1. __	2__	3__

9. How do you assess whether complainants recognize the potential implications that filing an allegation may have on their career, continued employment, or professional reputation?

(Specify) _____

10. When contacted by someone thinking about filing a formal allegation, have you ever followed-up with them again to see if they needed additional information, or to ask why they decided against making an allegation?
- Yes.....1
No.....2

(If Yes, Ask:)

10a. Under what circumstances or conditions would you do that?

- a. _____
- b. _____
- c. _____
- d. _____

11. What (would/do) you say to someone who made an allegation, if the decision is made to **not** hold an inquiry?

(Specify) _____

12. What (would/do) you say to them if the decision is made that there will **not** be an investigation following an inquiry?

(Specify) _____

13. What aspect of reporting and investigating research misconduct do you think is least well recognized by complainants as a concern when they decide to make an allegation?

(Specify) _____

GO TO SECTION B

SECTION B TO DETERMINE IF RIO HAD CONTACT WITH ACTUAL COMPLAINANT)

Section B.1: Time Before Making Allegation

1. Since you became RIO, with how many complainants have you spoken about making an allegation of research misconduct?
___ Complainants (If none, confirm by re-asking the question stating that this is without regard to research sponsor. If still none, go to **Section C**)

(ONLY ASK OF RIOs WHO HAD CONTACT WITH A COMPLAINANT)

- 1a. **(If only one)** How long ago was that? / **(If more than one)** How long ago was the most recent time?
___ Months...1 or Years ...2

I'd like to begin by asking a series of questions about the time period before the complainant actually made the allegation.

2. Please think about the (last/most recent) complainant that you spoke with. As best you can remember, was the **first contact** you had a face to face meeting or did it occur over the telephone, by e-mail, or some other way?
- a. Face to Face.....1
 - b. Telephone.....2
 - c. E-mail.....3
 - d. Other.....4 (*Specify*) _____
- 2a. Was your initial contact anonymous, or did the person identify him/herself to you,?
- a. Anonymous.....1
 - b. Identified.....2
 - c. Other.....3 (*Specify*) _____
- 2b. Was the complainant alone or accompanied by someone?
- a. Alone.....1
 - b. Not alone.....2
 - c. Don't know.....3
- 2c. What position in your institution did the complainant hold?

(DO NOT READ RESPONSE CHOICES)

- Technician.....1
- Undergraduate.....2
- Graduate Student.....3
- Post-doc.....4
- Instructor.....5
- Asst. Professor.....6
- Assoc. Professor.....7
- Professor/Emeritus...8
- Other.....9 (*Specify*) _____

2d. What position did the person who allegedly committed the misconduct hold ?

(DO NOT READ RESPONSE CHOICES)

- a. Technician.....1
- b. Undergraduate.....2
- c. Graduate Student.....3
- d. Post-doc.....4
- e. Instructor.....5
- f. Asst. Professor.....6
- g. Assoc. Professor.....7
- h. Professor/Emeritus...8
- i. Other.....9 (*Specify*) _____

2e. How many other times did you interact with the person before he/she actually made the allegation?

_____ Times

2f. How well informed of the institution’s policy did you feel the complainant was?

(READ RESPONSE CHOICES)

- a. Very Well Informed1
- b. Not Very Well Informed.....2
- c. Not Informed At All3
- d. Don’t Know.....4

2g. Before the person made the allegation, did he/she ask you any questions?

- Yes.....1
- No.....2 (*Go to Question 3*)

2h. About what topics did the person have questions?

(DO NOT READ RESPONSE CHOICES. CHECK YES FOR THOSE MENTIONED. SPECIFY OTHER CHOICES. PROBE FOR “ANY OTHERS”.)

	1Yes	2No
2.h.1 Anonymity/Confidentiality.....	<input type="checkbox"/>	<input type="checkbox"/>
a. Ability to make anonymous allegations.....	<input type="checkbox"/>	<input type="checkbox"/>
b. Ability to remain anonymous throughout the process.....	<input type="checkbox"/>	<input type="checkbox"/>
c. Extent to which the details would/should be held confidential.....	<input type="checkbox"/>	<input type="checkbox"/>
d. Other (<i>Specify</i>) _____		
2.h.2 Resolution Process.....	<input type="checkbox"/>	<input type="checkbox"/>
e. Steps involved	<input type="checkbox"/>	<input type="checkbox"/>
f. Collection of evidence.....	<input type="checkbox"/>	<input type="checkbox"/>
g. Amount of time involved on the part of the complainant.....	<input type="checkbox"/>	<input type="checkbox"/>
h. Length of time required for the process to run its course.....	<input type="checkbox"/>	<input type="checkbox"/>
i. Other (<i>Specify</i>) _____		
2.h.3 Institutional Support.....	<input type="checkbox"/>	<input type="checkbox"/>
j. Protection from retaliation.....	<input type="checkbox"/>	<input type="checkbox"/>
k. Provision of advisors to provide guidance.....	<input type="checkbox"/>	<input type="checkbox"/>
l. Job protection.....	<input type="checkbox"/>	<input type="checkbox"/>
m. Other (<i>Specify</i>) _____		

- | | 1Yes | 2No |
|---|--------------------------|--------------------------|
| 2.h.4 Potential Adverse Consequences..... | <input type="checkbox"/> | <input type="checkbox"/> |
| n. Retaliation..... | <input type="checkbox"/> | <input type="checkbox"/> |
| o. Damages reputation/career..... | <input type="checkbox"/> | <input type="checkbox"/> |
| p. Damages relationships with colleagues..... | <input type="checkbox"/> | <input type="checkbox"/> |
| q. Transfer to another lab/job..... | <input type="checkbox"/> | <input type="checkbox"/> |
| r. Time-consuming..... | <input type="checkbox"/> | <input type="checkbox"/> |
| s. Stressful..... | <input type="checkbox"/> | <input type="checkbox"/> |
| t. Disrupts family/marriage..... | <input type="checkbox"/> | <input type="checkbox"/> |
| u. Other (<i>Specify</i>) _____ | | |

- 2i. Were there any topics you covered because you felt he/she should be made aware of them?
- Yes.....1
- No.....2

(If Yes Ask:)

- 2j. What topics ?
- a. _____
- b. _____
- c. _____
- d. _____

3. Did you ask the complainant any questions **before** he/she decided to make the allegation ?
- Yes.....1
- No.....2

(If Yes, Ask:)

- 3a On what topics?
- a. _____
- b. _____
- c. _____
- d. _____

- 3b Were there topics on which you offered information, advice, guidance, or support ?
- Yes.....1
- No.....2

(If Yes, Ask:)

- 3c On what topics ?
- a. _____
- b. _____
- c. _____
- d. _____

Section B. 2. Time After Allegation Made

Now, I would like you to think about the time period after the complainant had made the allegation and the inquiry or investigation was underway, but not complete.

4. About how many times did you interact with the complainant during this time period ?

___ Times (If none, Ask Item 4a, Otherwise Go To Item 5.)

4a. Why was there no interaction with the complainant during this time period?

(DO NOT READ RESPONSES)

- a. There was no inquiry or investigation held.....1 *(Go To Section D)*
- b. Complainant left institution.....2*(Go To Section D)*
- c. Other...3 *(Specify)* _____ *(Go To Section D)*

5. Did the complainant have any additional questions for you during this time period?

- Yes.....1
- No.....2 *(Go To Item 6)*

5a. About what topics were the complainant’s questions?

(DO NOT READ RESPONSE CHOICES. CHECK YES FOR THOSE MENTIONED. SPECIFY OTHER CHOICES. PROBE FOR “ANY OTHERS”).

1Yes 2No

5.a.1 Anonymity/Confidentiality

- a. Ability to make anonymous allegations.....
- b. Ability to remain anonymous throughout the process.....
- c. Extent to which the details would/should be held confidential.....
- d. Other *(Specify)* _____

5.a.2 Resolution Process

- e. Steps involved
- f. Collection of evidence.....
- g. Amount of time involved on the part of the complainant.....
- h. Length of time required for the process to run its course.....
- i. Other *(Specify)* _____

5.a.3 Institutional Support

- j. Protection from retaliation.....
- k. Provision of advisors to provide guidance.....
- l. Job protection.....
- m. Other *(Specify)* _____

5.a.4 Potential Adverse Consequences

- n. Retaliation.....
- o. Damages reputation/career.....
- p. Damages relationships with colleagues.....
- q. Transfer to another lab/job.....
- r. Time-consuming.....
- s. Stressful.....
- t. Disrupts family/marriage.....
- u. Other *(Specify)* _____

6. At this time, did you offer the complainant any information, advice, guidance, or support?

Yes.....1
No.....2

(If Yes, Ask:)

6a. About what did you offer information:

- a. _____
- b. _____
- c. _____
- d. _____

7. Do you think that the complainant was expecting you to provide additional information, advice, guidance, or support?

Yes.....1
No.....2

(If Yes Ask:)

7a. About what topics?

- a. _____
- b. _____
- c. _____
- d. _____

Section B.3 Time After Allegation Resolved

Now I would like you to think about the period after the inquiry or investigation was completed and the allegation was resolved.

8. About how many times did you interact with the complainant after the inquiry or investigation was completed?

___ Times (If None, Ask Item 8a.)

8a. Why wasn't there any interaction with the complainant during this time?

(DO NOT READ RESPONSES)

- a. There was no inquiry or investigation conducted.....1 **(Go To Section D.)**
- b. Complainant was unhappy with outcome2**(Go To Section D.)**
- c. Complainant was satisfied with the outcome3**(Go To Section D.)**
-
- d. Complainant left the institution.....4**(Go To Section D.)**
- e. Other...5 **(Specify _____)(Go To Section D.)**

9. Did the complainant ask you any questions during this time?

Yes.....1
No.....2

(If Yes, Ask:)

9a. About what topics?

- a. _____
- b. _____
- c. _____
- d. _____

10. Did you offer the complainant any information, advice, guidance, or support during this time?

Yes.....1
 No.....2

(If Yes, Ask:)

10a. About what topics?

- a. _____
- b. _____
- c. _____
- d. _____

11. Do you think that he/she was expecting you to provide additional information, advice, guidance, or support at this time?

Yes.....1
 No.....2

(If Yes, Ask:)

11a. About what types of concerns?

- a. _____
- b. _____
- c. _____
- d. _____

12. Do you think any of the questions that the complainant had at this time were prompted by the finding?

Yes.....1
 No.....2 **(Go To Item 13)**

12a. Do you think his/her questions would have been different if the finding were different?

Yes.....1
 No.....2 **(Go To Item 13)**

12b. How do you think they would have been different?

(Specify) _____

13. Was the respondent found guilty of research misconduct?

Yes.....1
 No.....2

14. We are interested in any changes that you detected in the demeanor of the complainant as the proceedings progressed. How would describe the demeanor of the person:

Demeanor	14 a. During the Initial Contact?	14 b. After the Initial Contact?	14 c. After the Case Was Resolved?
Calm/relaxed	1	1	1
Angry	2	2	2
Emotional/upset	3	3	3
Afraid	4	4	4
Or something else? [confused, reassured, less likely to report etc.]	5 (Specify) _____	5 (Specify) _____	5 (Specify) _____

15. Did the complainant continue to work with the respondent during the inquiry and investigation?

- Yes, during both.....1
- Yes, only during inquiry.....2
- Not during either.....3
- They never did work together.....4

Since you became RIO, have you ever had a complainant who:

16a. Was being retaliated against by the respondent?

- Yes.....1
- No.....2

(If yes, Ask:)

16b. What did you do ? **(Specify)** _____

17a. Was being ostracized by peers and colleagues?

- Yes.....1
- No.....2

(If yes, Ask:)

17b. What did you do ? **(Specify)** _____

18a. Tried to direct the investigation process?

- Yes.....1
- No.....2

(If yes, Ask:)

18b. How did you handle it? **(Specify)** _____

19a. Broke confidentiality?

- Yes.....1
- No.....2

(If yes, Ask:)

19b. How did you handle it? **(Specify)** _____

20a. Tried to obstruct the process when it did not seem to be going well?

- Yes.....1
- No.....2

(If yes, Ask:)

20b. What did you do? **(Specify)** _____

GO TO SECTION D

SECTION C. CONTACT WITH “POTENTIAL” COMPLAINANTS

(ONLY ASK TO DETERMINE IF RIO WITH NO CONTACT WITH ACTUAL COMPLAINANTS HAD CONTACT WITH A POTENTIAL COMPLAINANT)

Now I would like to shift our discussion to “potential” complainants. “Potential” complainants are persons who contact you with the possible intent of making an allegation, but do not follow through. They may, however, still ask you questions about making an allegation.

1. Since you became RIO, with how many “potential” complainants have you spoken about making an allegation of research misconduct?

___ Potential Complainants (If None, Re-ask the Question. If same response go to **Section D.**)

(ONLY ASK OF RIOs WHO HAD CONTACT WITH A POTENTIAL COMPLAINANT)

- 1a. **(If only one, ask:)** How long ago was that? / **(If more than one, ask:)** How long ago was the most recent time?

___ Months... 1 or Years ...2

2. Please think about the (last/most recent) “potential” complainant that you spoke with. As best you can remember, Was the first contact you had a face-to-face meeting, or did it occur over the telephone, by e-mail or some other way?

- a. Face to Face.....1
- b. Telephone.....2
- c. E-mail.....3
- d. Other.....4 **(Specify)** _____

- 2a. Was your initial contact anonymous or did the person identify him/herself to you?

- a. Anonymous.....1
- b. Identified.....2
- c. Other.....3 **(Specify)** _____ 3

- 2b. Was the “potential” complainant alone or accompanied by someone?

- a. Alone.....1
- b. Not alone.....2
- c. Don’t know.....3

- 2c. What institutional position in the institution did the “potential” complainant hold?

(DO NOT READ RESPONSE CHOICES)

- a. Technician.....1
- b. Undergraduate.....2
- c. Graduate Student.....3
- d. Post-doc.....4
- e. Instructor.....5
- f. Asst. Professor.....6
- g. Assoc. Professor.....7
- h. Professor/Emeritus...8
- i. Other.....9 **(Specify)** _____

2d. What position did the person who allegedly committed the misconduct hold?

(DO NOT READ RESPONSE CHOICES)

- a. Technician.....1
- b. Undergraduate.....2
- c. Graduate Student.....3
- d. Post-doc.....4
- e. Instructor.....5
- f. Asst. Professor.....6
- g. Assoc. Professor.....7
- h. Professor/Emeritus...8
- i. Other.....9 (*Specify*) _____

2e. How many other times did you interact with the person?

_____ Times

2f. How well informed of the institution’s policy did you feel the “potential” complainant was?

- a. Very Well Informed1
- b. Not Very Well Informed.....2
- c. Not Informed At All3
- d. Don’t Know.....4

2g. Did the person have any questions for you?

Yes.....1

No.....2 (*Go to Question 3.*)

2h. About what topics did the person have questions?

(DO NOT READ RESPONSE CHOICES. CHECK YES FOR THOSE MENTIONED. SPECIFY OTHER CHOICES. PROBE FOR ANY OTHERS.)

	Yes	No
2.h.1 Anonymity/Confidentiality.....	<input type="checkbox"/>	<input type="checkbox"/>
a. Ability to make anonymous allegations.....	<input type="checkbox"/>	<input type="checkbox"/>
b. Ability to remain anonymous throughout the process.....	<input type="checkbox"/>	<input type="checkbox"/>
c. Extent to which the details would/should be held confidential.....	<input type="checkbox"/>	<input type="checkbox"/>
d. Other (<i>Specify</i>) _____		
2.h.2 Resolution Process.....	<input type="checkbox"/>	<input type="checkbox"/>
e. Steps involved	<input type="checkbox"/>	<input type="checkbox"/>
f. Collection of evidence.....	<input type="checkbox"/>	<input type="checkbox"/>
g. Amount of time involved on the part of the complainant.....	<input type="checkbox"/>	<input type="checkbox"/>
h. Length of time required for the process to run its course.....	<input type="checkbox"/>	<input type="checkbox"/>
i. Other (<i>Specify</i>) _____		
2.h.3 Institutional Support.....	<input type="checkbox"/>	<input type="checkbox"/>
j. Protection from retaliation.....	<input type="checkbox"/>	<input type="checkbox"/>
k. Provision of advisors to provide guidance.....	<input type="checkbox"/>	<input type="checkbox"/>
l. Job protection.....	<input type="checkbox"/>	<input type="checkbox"/>
m. Other (<i>Specify</i>) _____		

	Yes	No
2.h.4 Potential Adverse Consequences.....	<input type="checkbox"/>	<input type="checkbox"/>
n. Retaliation.....	<input type="checkbox"/>	<input type="checkbox"/>
o. Damages reputation/career.....	<input type="checkbox"/>	<input type="checkbox"/>
p. Damages relationships with colleagues.....	<input type="checkbox"/>	<input type="checkbox"/>
q. Transfer to another lab/job.....	<input type="checkbox"/>	<input type="checkbox"/>
r. Time-consuming.....	<input type="checkbox"/>	<input type="checkbox"/>
s. Stressful.....	<input type="checkbox"/>	<input type="checkbox"/>
t. Disrupts family/marriage.....	<input type="checkbox"/>	<input type="checkbox"/>
u. Other (<i>Specify</i>) _____		

2i. Were there any other topics that you covered because you felt the he/she should be made aware of them?

Yes.....1
No.....2

(If Yes Ask)

2j. What topics?

- a. _____
- b. _____
- c. _____
- d. _____

3. Did you ask the person any questions **before** he/she decided not to make a formal allegation of research misconduct?

Yes.....1
No.....2

(If Yes Ask)

3a. On what topics?

- a. _____
- b. _____
- c. _____
- d. _____

3b. Were there any other topics for which you offered information, advice, guidance, or support?

Yes.....1
No.....2

(If Yes Ask)

3c. On what other topics?

- a. _____
- b. _____
- c. _____
- d. _____

4. Have you ever appointed someone such as a senior faculty person to be a point of contact for a complainant so he/she had someone safe to talk with while the case was being resolved?

Yes.....1
No.....2

5. Do you think that the complainant was expecting you to provide additional information, advice, guidance, or support?

Yes.....1
No.....2

(If Yes, Ask:)

5a. About what?

- a. _____
- b. _____
- c. _____
- d. _____

SECTION D. I HAVE JUST A FEW QUESTIONS ABOUT YOUR BACKGROUND.

(ALL RIOs GET ASKED THESE QUESTIONS)

1. What is **your usual title**, office, or position in the organization when you are **not performing** activities related to allegations of research misconduct?
(Specify) _____
2. What is your title, position or office in the organizational structure when you **are performing activities related to research misconduct issues**?
(Specify) _____
3. When you are performing activities related to research misconduct, how many people are there in the organizational structure between you and the President’s office (including your supervisor)?
_____ Persons
4. How long have you been employed at your current institution?
__ __ Months...1 or Years ...2
5. How long have you been **involved in any way** with activities related to investigating and reporting on research misconduct at your institution or elsewhere?
__ __ Months...1 or Years ...2
6. How long have you been the RIO at your institution (the person **responsible for** carrying out your institution’s policies and procedures for investigating and reporting on research misconduct)?
__ __ Months...1 or Years ...2
7. What experiences or training have you had that helped prepare you to handle allegations of research misconduct? Include training that helped prepare you to interact with actual or potential complainants?

INTERVIEWER: THIS INCLUDES COURSES, CONFERENCES, AND WORKSHOPS

The next two questions are about the period of time since you became a RIO.

8. Approximately **how many times** would you say that you have conferred with RIOs at other institutions about difficulties you faced/might face in handling cases?
Number of Times _____
9. About **how many times** would you say that you have conferred about “hypothetical cases” or spoken off the record with someone at the Office of Research Integrity, or any other Federal oversight agency about how to handle difficult cases?
None.....0
Number of Times _____
10. Are you the **primary person** identified to **receive allegations** of research misconduct at your institution?
Yes.....1
No.....2
11. Are there other persons at your institution who are **also authorized** to receive allegations?
Yes.....1

No.....2

12. Assuming you had evidence of falsification, fabrication, or plagiarism, would you be obliged to file an allegation?

Yes.....1

No.....2

(If No, Ask:)

12a. Why not?

(Specify) _____

13. I want to thank you for the time you took to answer our questions. Before ending our interview, I just want to ask you whether there is anything else about your experience or lack of experience talking with complainants and potential complainants regarding allegations of research misconduct that you would like to share?

(Specify) _____

End Time _____

Date Completed _____