SOP 1.7 Monitoring Administrative Actions

**General Description:**
After Mason makes an internal finding of misconduct, and all appeals are exhausted, against one or more Respondents, it typically imposes sanctions (a.k.a. administrative actions) up to and including dismissal against those Respondents. These administrative actions are fully described in policy 4007, Misconduct in Research and Scholarship. Where dismissal is not sought, institutions may place Respondents on probation with specific conditions for specific periods. For example, the institution may limit the kinds of research those Respondents may engage in (e.g., research involving human participants), may require that a Respondent’s research activities be monitored and approved by others, may limit those Respondent’s use of specific internal or external research funds, may proscribe Respondents from supervising junior researchers and so on. Similarly, federal agencies such as PHS may debar convicted Respondents from receiving PHS funds for specific periods or may require that a Respondent’s research activities be supervised. Institutions may encounter difficulty - sanctions by funding agencies and legal liability - when they do not enforce administrative actions imposed at the end of misconduct cases.

**Procedures:**
1. The investigative committee and deciding official should consult the RIO when considering imposition of sanctions on Respondents after a finding of misconduct because, among other reasons, RIOs are best equipped to discuss the relation of the seriousness of the misconduct to the proposed sanction in this case as compared to other previous cases.

2. Where a Respondent found responsible for misconduct remains at Mason and a federal agency, such as PHS, imposes additional sanctions on the Respondent, e.g., debarment from seeking federal funding for research for a specific period of time, those sanctions must be enforced by the institution.

3. The Deciding Official will determine responsibility for monitoring and oversight and assign an administrative team. The RIO will support and advise these administrative teams appropriate to each specific case to monitor internal and external administrative actions. Such teams might include a representative from the Office of Sponsored Programs, the Respondent’s department chairperson or dean, or other members of the faculty and staff. This team will check to see that the administrative actions are being enforced at regular intervals during the pendency of the probation or debarment and report to the RIO.

4. The RIO will create an administrative action calendar for each case where such actions are prescribed and check to see that the administrative teams report on schedule that the administrative actions are being enforced.

**Related Forms, Guidance, and SOPs:**
Policy 4007, Misconduct in Research and Scholarship

**Responsibility:**
Execution of SOP: Deciding Official Research Integrity Officer

**Approval and Version History:**
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