

**University Senates Conference
March 2020**

**Policy on Integrity in Research and Publication Review Committee
Summary Report**

The University of Illinois System is committed to conducting and supporting research that changes the world and improves lives at societal and individual levels. Integrity in research is critical to its execution, and the system and its universities accept only the highest standards of integrity throughout the research process. The current Policy and Procedures on Integrity in Research and Publication was last reviewed in August of 2009. Since that time, the Research Integrity Officers (RIOs) at each of the universities felt that the policy needed to be reviewed and updated based on changes in expectations and reporting from funding agencies.

Executive Vice President Barb Wilson convened a Committee in September 2018 to review the University's *Policy and Procedures on Integrity in Research and Publication*. The group included individuals from the three universities and the system with knowledge of the principles of research integrity and the current policy. Faculty, legal counsel, students, and administrators whose portfolios include research integrity from the three universities and the System Offices were represented in the committee membership.

The Review Committee began meeting monthly in October 2018. Significant effort focused on ultimately creating a consistent, organized, clearly defined policy that would be flexible enough to meet the needs of research personnel across the system while clearly defining what does and does not constitute research integrity and research misconduct. A summary of significant changes to the policy follows, and a table with more detailed explanations of the changes is attached.

COCI Policy Review Committee Members:

Richard Gemeinhart, Chair (Research Integrity Officer, Office of the Vice Chancellor for Research & Professor, Department of Pharmaceutics & Bioengineering, Chicago)
Peyton Bohnsack (Postdoctoral Research Associate, Department of Psychiatry, Chicago)
Keenan Dungey (Research Integrity Officer & Associate Vice Chancellor for Research and Institutional Effectiveness, Springfield)
Cynthia Fisher (Professor, Department of Psychology, Urbana)
Mark Grabiner (Research Integrity Officer & Associate Vice Chancellor for Research, Chicago)
Kimberly Lawless (Professor, Department of Educational Psychology & Associate Dean for Research, College of Education, Chicago)
Chris Lehmann (Research Integrity Officer, Urbana)
Melanie Loots (Executive Associate Vice Chancellor for Research, Urbana)
Donna McNeely (Executive Director, Ethics & Compliance, System Offices)
Gabrielle Mesko (Graduate Student, Department of History, Urbana)
Lisa Power (Assistant Campus Legal Counsel, System Offices)
Halie Rando (Graduate Student, Department of Animal Science, Urbana)
Karen Reinke (Associate Professor, Department of Psychology, Springfield)
Sarah Zehr (Office of the Executive Vice President & Vice President for Academic Affairs, System Offices)

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Summary and explanation of significant changes to the current *Policy and Procedures on Integrity in Research & Publication*

Format

The revised policy uses the template for system policies, which reduces the length and complexity, but makes it more difficult to see what has changed since the entire policy format is different. A table and summary of changes are provided to assist those reading or reviewing the policy to see the significant changes. The revised policy also includes footnotes when applicable that reference the Code of Federal Regulations (CFR) or other federal guidance.

Procedures removed from policy

The current policy combines policy statements and procedures, which introduces two challenges. First, integrating policy statements and procedures results in redundancies and confusion in some cases. Second, the three universities currently have common procedures, but this has been challenging due to differences in institutional structure; separating policy and procedures provides flexibility for the three universities to address research misconduct based on their specific infrastructure and practices.

Policy owner

The owner of the policy has transitioned from the Vice President for Research to the Vice President for Academic Affairs. Because the policy deals with faculty activities, the Vice President for Economic Development and Innovation (formerly known as the Vice President for Research) felt that the policy was better situated in the Office of the Vice President for Academic Affairs.

Definition of Responsible Official

The revised policy specifically defines the Responsible Official as the Vice Chancellor for Research (UIC and UIUC) and the Vice Chancellor for Academic Affairs (UIS). It also transfers the responsibility of reporting to third parties from the Chancellor to the Responsible Official.

Procedural deadlines

The current policy explicitly lists deadlines throughout the proceedings. In the revised version, deadlines are removed from the policy and will be included in the procedures specific to each university. The revisions also allow for changes to deadlines resulting from extensions granted by federal agencies.

Definitions of research integrity and research misconduct

The revised policy expands the definition of research misconduct beyond falsification, fabrication, and plagiarism; it now also includes other forms of misconduct such as: evasion of or failure to comply with research regulations, misappropriation of research materials, unethical or biased treatment of others that impedes or diminishes their research productivity, and several other examples (please see IV.V for a full list). Unlike the current policy, the revised policy provides a definition for research integrity, which includes appropriate authorship guidelines.

New requirements

The revised policy explicitly outlines expectations that were implicit in the current policy:

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- *Ex parte* communications (made outside the defined process) are not allowed and must be disclosed to the RIO and made part of the record of proceedings;
- All parties participating in proceedings are under obligation to tell the truth and to cooperate;
- Materials may be returned after closure of all proceedings and external investigations at the request of the Respondent; and
- The obligation to report research misconduct changes is an obligation only for those in a position with supervisory responsibility, though still strongly encouraged for all Institutional Members.