

# Baldwin Wallace University

## POLICY FOR RESPONDING TO ALLEGATIONS OF RESEARCH MISCONDUCT

*Approved by Faculty Senate April 2015*

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### 1. Introduction

#### A. General Policy

Baldwin Wallace University's missions in teaching, learning and scholarship require honesty. Incumbent on its Faculty, staff, and students are integrity in scholarship and the responsibility for good-faith reporting of any research misconduct.

#### B. Scope

This policy and its associated procedures apply to all individuals at Baldwin Wallace University engaged in research. This includes research that is not funded and research that is supported by, or for which support is requested from any internal University grant or federal granting agency. This policy applies to any person paid by, under the control of, or affiliated with the institution, such as scientists, trainees, technicians and other staff members, students, fellows, guest researchers, or collaborators. The policy and associated procedures will apply when an institutional official receives an allegation of possible misconduct in research. Particular circumstances in an individual case may dictate variation from normal procedures. Any change from normal procedures also must ensure fair treatment to the subject of the inquiry or investigation. The Research Integrity Officer and Provost should approve any significant variation.

### 2. Definitions

A. *Allegation* means any written or oral statement or other indication of possible research misconduct made to an institutional official.

B. *Complainant* means a person who makes an allegation of research misconduct.

C. *Deciding official* means the institutional official who makes final determinations on allegations of research misconduct and recommendations for responsive institutional actions. The deciding official at Baldwin Wallace University is the Provost.

D. *Employee* means, for the purpose of these instructions only, any person paid by, under the control of, or affiliated with the institution, including but not limited to scientists, trainees, students, fellows, technicians, support staff, and guest researchers.

E. *Good faith allegation* means an allegation made with the honest belief that research misconduct may have occurred. An allegation is not in good faith if it is made with reckless disregard for or willful ignorance of facts that would disprove the allegation.

F. *Inquiry* means information-gathering and initial fact-finding to determine whether an allegation or apparent instance of research misconduct warrants an investigation.

G. *Institutional counsel* means legal counsel who represents the institution during the research misconduct inquiry and investigation and who is responsible for advising the research integrity officer, the inquiry investigation committee, and the deciding official on relevant legal issues. The institutional counsel does not represent the respondent, the complainant, or any other person participating during the inquiry, investigation, or any follow-up action, except the institutional officials responsible for managing or conducting the institutional research misconduct process as part of their official duties.

H. *Investigation* means the formal examination and evaluation of all relevant facts to determine if research misconduct has occurred and, if so, to determine the responsible person and the seriousness of the misconduct.

I. *Federal granting agency support* means grants, contracts, or cooperative agreements, or applications thereof.

J. *Research integrity officer* means the institutional official responsible for assessing allegations of research misconduct and determining when such allegations warrant inquiries and for overseeing any inquiries and investigations. Baldwin Wallace University's current research integrity officer is an appointed faculty member who serves on the Institutional Review Board.

K. *Research record* means any data, document, computer file, computer diskette, or any other written or non-written account or object that reasonably may be expected to provide evidence or information regarding the proposed, conducted, or reported research that constitutes the subject of an allegation of research misconduct. A research record includes, but is not limited to, grant or contract applications, whether funded or unfunded; grant or contract progress and other reports; laboratory notebooks; notes; correspondence; videos; photographs; X-ray film; slides; biological materials; computer files and printouts; manuscripts and publications; equipment use logs; laboratory procurement records; animal facility records; human and animal subject protocols; and consent forms.

L. *Respondent* means the person against whom an allegation of research misconduct is directed or the person who is the subject of the inquiry or investigation. There can be more than one respondent in any inquiry or investigation.

M. *Retaliation* means any action that adversely affects the employment or other status of an individual that is taken by an institution or an employee because the individual has, in good faith, made an allegation of research misconduct or of inadequate institutional response thereto, or has cooperated in good faith with an investigation of such allegation.

N. *Research misconduct or misconduct in research* means fabrication, falsification, plagiarism, or other dishonest practices. It does not include honest error or honest differences in interpretations or judgments of data.

### **3. Rights and Responsibilities**

#### **A. Research Integrity Officer**

An appointed faculty member will serve as the research integrity officer, who will have primary responsibility for implementation of the procedures set forth in this document. The research integrity officer must be sensitive to the varied demands made on those who conduct research, those who are accused of misconduct, and those who report apparent misconduct in good faith.

The research integrity officer will appoint the inquiry and investigation committees and ensure that necessary and appropriate expertise is secured to carry out a thorough and authoritative evaluation of the relevant evidence in an inquiry or investigation. The research integrity officer will attempt to ensure that confidentiality is maintained.

The research integrity officer will assist inquiry and investigation committees and all institutional personnel in complying with these procedures and with applicable standards imposed by federal funding agencies. The research integrity officer is also responsible for maintaining files of all documents and evidence and for the confidentiality and the security of the files.

The research integrity officer will report to the appropriate federal agency as required by regulation and keep it apprised of any developments during the course of the inquiry or investigation that may affect current or potential funding for the individual(s) under investigation or that the agency needs to know to ensure appropriate use of federal funds and otherwise protect the public interest.

#### **B. Complainant**

The complainant will have an opportunity to testify before the inquiry and investigation committees, to review portions of the inquiry and investigation reports pertinent to his/her allegations or testimony, to be informed of the results of the inquiry and investigation, and to be protected from retaliation. Also, if the research integrity officer has determined that the complainant may be able to provide pertinent information on any portions of the draft report, these portions will be given to the complainant for comment.

The Complainant is responsible for making allegations in good faith, maintaining confidentiality, and cooperating with an inquiry or investigation.

#### **C. Respondent**

The respondent will be informed of the allegations when an inquiry is opened and notified in writing of the final determinations and resulting actions. The respondent will also have the opportunity to be interviewed by and present evidence to the inquiry and investigation committees, to review the draft inquiry and investigation reports, and to have the advice of counsel.

The respondent is responsible for maintaining confidentiality and cooperating with the conduct

of an inquiry or investigation. If the respondent is not found guilty of research misconduct, he/she has the right to receive institutional assistance in restoring his/her reputation.

#### D. Deciding Official

The deciding official, the Provost, will receive the inquiry and/or investigation report and any written comments made by the respondent or the complainant on the draft report. The deciding official will consult with the research integrity officer and other appropriate officials and committees and will determine whether to conduct an investigation, whether misconduct occurred, whether to recommend sanctions, or whether to take other appropriate administrative actions.

### **4. General Procedures and Principles**

#### A. Responsibility to Report Misconduct

All employees or individuals associated with Baldwin Wallace University should report observed, suspected, or apparent misconduct in research to the research integrity officer. If an individual is unsure whether a suspected incident falls within the definition of research misconduct, he/she may call the research integrity officer to discuss the suspected misconduct informally. If the circumstances described by the individual do not meet the definition of research misconduct, the research integrity officer will refer the individual or allegation to other offices or officials with responsibility for resolving the problem.

At any time, an employee may have confidential discussions and consultations about concerns of possible misconduct with the research integrity officer and will be counseled about appropriate procedures for reporting allegations.

#### B. Protecting the Complainant

The research integrity officer will monitor the treatment of individuals who bring allegations of misconduct or of inadequate institutional response thereto, and those who cooperate in inquiries or investigations. The research integrity officer will ensure that these persons will not be retaliated against in the terms and conditions of their employment or other status at the institution and will review instances of alleged retaliation for appropriate action.

Employees should immediately report any alleged or apparent retaliation to the research integrity officer.

Also the institution will protect the privacy of those who report misconduct in good faith to the maximum extent possible. For example, if the complainant requests anonymity, the institution will make an effort to honor the request during the allegation assessment or inquiry within applicable policies and regulations and state and local laws, if any. The complainant will be advised that if the matter is referred to an investigation committee and the complainant's testimony is required, anonymity may no longer be guaranteed. Institutions are required to undertake diligent efforts to protect the positions and reputations of those persons who, in good

faith, make allegations.

### C. Protecting the Respondent

Inquiries and investigations will be conducted in a manner that will ensure fair treatment to the respondent(s) in the inquiry or investigation and confidentiality to the extent possible without compromising public health and safety or thoroughly carrying out the inquiry or investigation.

Institutional employees accused of research misconduct may consult with legal counsel or a non-lawyer personal adviser (who is not a principal witness in the case) to seek advice and may bring the counsel or personal adviser to interviews or meetings on the case.

### D. Cooperation with Inquiries and Investigations

Institutional employees will cooperate with the research integrity officer and other institutional officials in the review of allegations and the conduct of inquiries and investigations. Employees have an obligation to provide relevant evidence to the research integrity officer or other institutional officials on misconduct allegations.

### E. Preliminary Assessment of Allegations

Upon receiving an allegation of research misconduct, the research integrity officer will immediately assess the allegation to determine whether there is sufficient evidence to warrant an inquiry, whether federal support or applications for funding are involved, and whether the allegation falls under the definition of research misconduct.

## **5. Conducting the Inquiry**

### A. Initiation and Purpose of the Inquiry

Following the preliminary assessment, if the research integrity officer determines that the allegation provides sufficient information to allow specific follow-up and that the allegation falls under the definition of research misconduct, he/she will immediately initiate the inquiry process. In initiating the inquiry, the research integrity officer should identify clearly the original allegation and any related issues that should be evaluated. The purpose of the inquiry is to make a preliminary evaluation of the available evidence and testimony of the respondent, complainant, and key witnesses to determine whether there is sufficient evidence of possible research misconduct to warrant an investigation. The purpose of the inquiry is NOT to reach a final conclusion about whether misconduct definitely occurred or who was responsible. The findings of the inquiry must be set forth in an inquiry report.

### B. Sequestration of the Research Records

After determining that an allegation falls within the definition of misconduct in research and is subject to inquiry, the research integrity officer must ensure that all original research records and materials relevant to the allegation are immediately secured.

### C. Appointment of the Inquiry Committee

The Research Integrity Officer, in consultation with other institutional officials as appropriate (including the Provost, Faculty Senate President, and IRB Chairperson), will appoint an inquiry committee and committee chair within 10 days of the initiation of the inquiry. The inquiry committee should consist of at least three individuals who do not have real or apparent conflicts of interest in the case, are unbiased, and have the necessary expertise to evaluate the evidence and issues related to the allegation, interview the principals and key witnesses, and conduct the inquiry. These individuals may be scientists, subject matter experts, administrators, lawyers, or other qualified persons, and they may be from inside or outside Baldwin Wallace University.

The Research Integrity Officer will notify the respondent of the proposed committee membership in 10 days. If the respondent submits a written objection to any appointed member of the inquiry committee or expert based on bias or conflict of interest within 5 days, the Research Integrity Officer will determine whether to replace the challenged member or expert with a qualified substitute.

### D. Charge to the Committee and the First Meeting

The Research Integrity Officer will prepare a charge for the inquiry committee that describes the allegations and any related issues identified during the allegation assessment and states that the purpose of the inquiry is to make a preliminary evaluation of the evidence and testimony of the respondent, complainant, and key witnesses to determine whether there is sufficient evidence of possible research misconduct to warrant an investigation. The purpose is not to determine whether research misconduct definitely occurred or who was responsible.

At the committee's first meeting, the Research Integrity Officer will review the charge with the committee, discuss the allegations, any related issues, and the appropriate procedures for conducting the inquiry, assist the committee with organizing plans for the inquiry, and answer any questions raised by the committee. The Research Integrity Officer and institutional counsel will be present or available throughout the inquiry to advise the committee as needed.

### E. Inquiry Process

When the institution's review of the allegation identifies non-research misconduct issues, the Research Integrity Officer should refer these matters to the proper institutional or federal office for action.

## **6. The Inquiry Report**

### A. Elements of the Inquiry Report

A written inquiry report must be prepared that states the name and title of the committee members and experts, if any; the allegations; the federal support; a summary of the inquiry process used; a list of the research records reviewed; summaries of any interviews; a description

of the evidence in sufficient detail to demonstrate whether and investigation is warranted or not; and the committee's determination as to whether an investigation is recommended and whether any other actions should be taken if an investigation is not recommended. Institutional counsel will review the report for legal sufficiency.

## B. Comments on the Draft Report by the Respondent and the Complainant

The Research Integrity Officer will provide the respondent with a copy of the draft inquiry report for comment and rebuttal and will provide the complainant; if he/she is identifiable, with portions of the draft inquiry report that address the complainant's role and opinions in the investigation.

### 1. Confidentiality

The Research Integrity Officer may establish reasonable conditions for review to protect the confidentiality of the report.

### 2. Receipt of Comments

Within 14 calendar days of their receipt of the draft report, the complainant and respondent will provide their comments, if any, to the inquiry committee. Any comments that the complainant or respondent submits on the draft report will become part of the final inquiry report and record. Based on the comments, the inquiry committee may revise the report as appropriate.

## C. Inquiry Decision and Notification

### 1. Decision by Deciding Official

The Research Integrity Officer will transmit the final report and any comments to the deciding official, who will make the determination of whether findings from the inquiry provide sufficient evidence of possible research misconduct to justify conducting an investigation. The inquiry is completed when the deciding official makes this determination, which will be made within 60 days of the first meeting of the inquiry committee. Any extension of this period will be based on good cause and recorded in the inquiry file.

### 2. Notification

The Research Integrity Officer will notify both the respondent and the complainant in writing of the deciding official's decision of whether to proceed to an investigation and will remind them of their obligation to cooperate in the event an investigation is opened. The Research Integrity Officer will also notify all appropriate institutional officials of the deciding official's decision.

## D. Time Limit for Completing the Inquiry Report

The inquiry committee will normally complete the inquiry and submit its report in writing to the Research Integrity Officer no more than 60 calendar days following its first meeting, unless the Research Integrity Officer approves an extension for good cause. If the Research Integrity Officer approves an extension, the reason for the extension will be entered into the records of the case and the report. The respondent will be notified of the extension.

## **7. Conducting the Investigation**

### **A. Purpose of the Investigation**

The purpose of the investigation is to explore in detail the allegations, to examine the evidence in depth, and to determine specifically whether misconduct has been committed, by whom, and to what extent. The investigation will also determine whether there are additional instances of possible misconduct that would justify broadening the scope beyond the initial allegations. The findings of the investigation will be set forth in an investigative report.

### **B. Sequestration of the Research Records**

The Research Integrity Officer will immediately sequester any additional pertinent research records that were not previously sequestered during the inquiry. This sequestration should occur before or at the time the respondent is notified that an investigation has begun. The need for additional sequestration of records may occur for any number of reasons, including the institution's decision to investigate additional allegations not considered during the inquiry stage or the identification of records during the inquiry process that had not been previously secured. The procedures to be followed for sequestration during the investigation are the same procedures that apply during the inquiry.

### **C. Appointment of the Investigation Committee**

The Research Integrity Officer, in consultation with other institutional officials as appropriate (including the Provost, Faculty Senate President, and IRB Chairperson) will appoint an investigation committee and the committee chair within 10 days of the notification to the respondent that an investigation is planned or as soon thereafter as practicable. The investigation committee should consist of the appropriate standing institutional committee supplemented by at least three individuals who do not have real or apparent conflicts of interest in the case, are unbiased, and have the necessary expertise to evaluate the evidence and issues related to the allegations, interview the principals and key witnesses, and conduct the investigation. These individuals may be scientists, administrators, subject matter experts, lawyers, or other qualified persons, and they may be from inside or outside Baldwin Wallace University. Individuals appointed to the investigation committee may also have served on the inquiry committee.

The Research Integrity Officer will notify the respondent of the proposed committee membership within five days. If the respondent submits a written objection to any member of the investigation committee or expert, the research integrity officer will determine whether to replace the challenged member or expert with a qualified substitute.



## D. Charge to the Committee and the First Meeting

### 1. Charge to the Committee

The Research Integrity Officer will define the subject matter of the investigation in a written charge to the committee that describes the allegations and related issues identified during the inquiry, defines research misconduct, and identifies the name of the respondent. The charge will state that the committee is to evaluate the evidence and testimony of the respondent, complainant, and key witnesses to determine whether, based on a preponderance of the evidence, research misconduct occurred and, if so, to what extent it occurred, who was responsible, and how serious was the misconduct.

During the investigation, if additional information becomes available that substantially changes the subject matter of the investigation or would suggest additional respondents, the committee will notify the research integrity officer, who will determine whether it is necessary to notify the respondent of the new subject matter or to provide notice to additional respondents.

### 2. The First Meeting

The Research Integrity Officer, with the assistance of institutional counsel, will convene the first meeting of the investigation committee to review the charge, the inquiry report, and the prescribed procedures and standards for the conduct of the investigation, including the necessity for confidentiality and for developing a specific investigation plan. The investigation committee will be provided with a copy of these instructions and any appropriate federal regulations, if applicable.

## E. Investigation Process

### 1. Elements of the Investigation Report

The final report submitted to the federal agency, if applicable, must describe the policies and procedures under which the investigation was conducted, describe how and from whom information relevant to the investigation was obtained, state of the findings, and explain the basis for the findings. The report will include the actual text or an accurate summary of the views of any individual(s) found to have engaged in misconduct as well as a description of any sanctions imposed and administrative actions taken by the institution.

### 2. Comments on the Draft Report

#### a. Respondent

The Research Integrity Officer will provide the respondent with a copy of the draft investigation report for comment and rebuttal. The respondent will be allowed 10 days to review and comment on the draft report. The respondent's comments will be attached to the final report. The findings of the final report should take into account the respondent's comments in addition to all the other evidence.

## b. Complainant

The Research Integrity Officer will provide the complainant, if he/she is identifiable, with those portions of the draft investigation report that address the complainant's role and opinions in the investigation. The report should be modified, as appropriate, based on the complainant's comments.

## c. Institutional Counsel

The draft investigation report will be transmitted to the institutional counsel for a review of its legal sufficiency. Comments should be incorporated into the report as appropriate.

## d. Confidentiality

In distributing the draft report, or portions thereof, to the respondent and complainant, the research integrity officer will inform the recipient of the confidentiality under which the draft report is made available and may establish reasonable conditions to ensure such confidentiality. For example, the research integrity officer may request the recipient to sign a confidentiality statement or to come to his/her office to review the report.

## 3. Institutional Review and Decision

The investigation committee's report constitutes the final investigation report for purposes of federal agency review.

When a final decision on the case has been reached, the Research Integrity Officer will notify both the respondent and the complainant in writing. In addition, the deciding official will determine whether law enforcement agencies, professional societies, editors of journals in which falsified reports may have been published, collaborators of the respondent in the work, or other relevant parties should be notified of the outcome of the case. The research integrity officer is responsible for ensuring compliance with all notification requirements of funding or sponsoring agencies.

## 4. Appeal of Decision

If a respondent wishes to appeal the deciding official's final recommendation, these appeals are subject to standard grievance review committee policy found in the faculty handbook.

## F. Transmittal of the Final Investigation Report to the Relevant Federal Agency

After comments have been received and the necessary changes have been made to the draft report, the investigation committee should transmit the final report with attachments, including the respondent's and complainant's comments, to the deciding official, through the research integrity officer. The deciding official shall submit the report to the relevant federal agency, as appropriate.

## G. Time Limit for Completing the Investigation Report

An investigation should ordinarily be completed within 120 days of its initiation, with the initiation being defined as the first meeting of the investigation committee. This includes conducting the investigation, preparing the report of findings, making the draft report available to the subject of the investigation for comment, submitting the report to the deciding official for approval, and submitting the report to the relevant federal agency.

## **8. Requirements for Reporting to Federal Agency – Office of Research Integrity (ORI) – if Public Health Service (PHS) Support or Applications for Support are Involved**

A. An institution's decision to initiate an investigation must be reported in writing to the Director, ORI, on or before the date the investigation begins. At a minimum, the notification should include the name of the person(s) against whom the allegations have been made, the general nature of the allegation as it relates to the PHS definition of research misconduct, and the PHS applications or grant number(s) involved. ORI must also be notified of the final outcome of the investigation and must be provided with a copy of the investigation report. Any significant variations from the provisions of the institutional policies and procedures should be explained in any reports submitted to ORI.

B. If an institution plans to terminate an inquiry or investigation for any reason without completing all relevant requirements of the PHS regulations, the research integrity officer will submit a report of the planned termination to ORI, including a description of the reasons for the proposed termination.

C. If the institution determines that it will not be able to complete the investigation in 120 days, the research integrity officer will submit to ORI a written request for an extension that explains the delay, reports on the progress to date, estimates the date of completion of the report, and describes other necessary steps to be taken. If the request is granted, the research integrity officer will file periodic progress reports as requested by the ORI.

D. When PHS funding or applications for funding are involved and an admission of research misconduct is made, the research integrity officer will contact ORI for consultation and advice. Normally, the individual making the admission will be asked to sign a statement attesting to the occurrence and extent of misconduct. When the case involves PHS funds, the institution cannot accept an admission of research misconduct as a basis for closing a case or not undertaking an investigation without prior approval from ORI.

E. The research integrity officer will notify ORI at any stage of the inquiry or investigation if any of the following apply:

1. there is an immediate health hazard involved;
2. there is an immediate need to protect Federal funds or equipment;
3. there is an immediate need to protect the interests of the person(s) making the allegations or of the individual(s) who is the subject of the allegations as well as his/her co-investigators and associates, if any;

4. it is probable that the alleged incident is going to be reported publicly;
5. the allegation involves a public health sensitive issue;
6. there is a reasonable indication of possible criminal violation. In this instance, the institution must inform ORI within 24 hours of obtaining that information.

## **9. Institutional Administrative Actions**

Baldwin Wallace University will take appropriate administrative actions against individuals when an allegation of misconduct has been substantiated. If the deciding official determines that the alleged misconduct is substantiated by the findings, he/she will recommend the appropriate actions to be taken, after consultation with the research integrity officer. The actions may include:

- a. withdrawal or correction of all pending or published abstracts and papers emanating from the research where research misconduct was found;
- b. removal of the responsible person from the particular project, letter of reprimand, special monitoring of future work, probation, suspension, salary reduction, or initiation of steps leading to possible rank reduction or termination of employment;
- c. restitution of funds as appropriate.

## **10. Other Considerations**

### **A. Termination of Institutional Employment or Resignation Prior to Completing Inquiry or Investigation**

The termination of the respondent's institutional employment, by resignation or otherwise, before or after an allegation of possible research misconduct has been reported, will not preclude or terminate the misconduct procedures.

If the respondent, without admitting to the misconduct, elects to resign his/her position prior to the initiation of an inquiry, but after an allegation has been reported, or during an inquiry or investigation, the inquiry or investigation will proceed. If the respondent refuses to participate in the process after resignation, the committee will use its best efforts to reach a conclusion concerning the allegations, noting in its report the respondent's failure to cooperate and its effect on the committee's review of all the evidence.

### **B. Restoration of the Respondent's Reputation**

If the institution finds no misconduct and the federal agency concurs, after consulting with the respondent, the research integrity officer will undertake reasonable efforts to restore the respondent's reputation. Depending upon the particular circumstances, the research integrity officer should consider notifying those individuals aware of or involved in the investigation of the final outcome, publicizing the final outcome in forums in which the allegation of research misconduct was previously publicized, or expunging all reference to the research misconduct

allegation from the respondent's personnel file. Any institutional actions to restore the respondent's reputation must first be approved by the deciding official.

#### C. Protection of the Complainant and Others

Regardless of whether the institution determines that research misconduct occurred, the research integrity officer will undertake reasonable efforts to protect complainants who made allegations of research misconduct in good faith and others who cooperate in good faith with inquiries and investigations of such allegations. Upon completion of an investigation, the deciding official will determine, after consulting with the complainant, what steps, if any, are needed to restore the position or reputation of the complainant. The research integrity officer is responsible for implementing any steps the deciding official approves. The research integrity officer will also take appropriate steps during the inquiry and investigation to prevent any retaliation against the complainant.

#### D. Allegations Not Made in Good Faith

If relevant, the deciding official will determine whether the complainant's allegation of research misconduct was made in good faith. If an allegation was not made in good faith, the deciding official will determine whether any administrative action should be taken against the complainant.

#### E. Interim Administrative Actions

Institutional officials will take interim administrative actions, as appropriate, to protect federal funds and ensure that the purposes of the federal financial assistance are carried out.

### **11. Record Retention**

After completion of a case and all ensuing related actions, the research integrity officer will prepare a complete file, including the records of any inquiry or investigation and copies of all documents and other materials furnished to the research integrity officer or committees. The research integrity officer will keep the files for three years after completion of the case to permit later assessment of the case. If the case involved research supported by PHS or for which support from PHS had been requested, ORI or other authorized Department of Health and Human Services personnel will be given access to the records upon request.