

## Research Misconduct Roles and Responsibility Matrix

| <b><i>Role or Office</i></b>            | <b><i>Right/Responsibility</i></b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
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| <i>Complainant</i>                      | <ol style="list-style-type: none"> <li>1. Duty to cooperate with all phases of the Research Misconduct Proceedings, as requested by the University</li> <li>2. Making truthful Allegations in Good Faith</li> <li>3. Requesting anonymity. The University will make reasonable efforts to maintain anonymity, but anonymity cannot be assured.</li> <li>4. Maintaining confidentiality throughout the duration of the Research Misconduct Proceedings</li> <li>5. Disclose any known Conflicts of Interest to the RIO</li> <li>6. Submit Evidence to the ULORI or the RIO</li> <li>7. Participate in interviews requested by the Inquiry and/or Investigation Panel</li> <li>8. Report to the RIO any instances of Retaliation experienced based upon the role of the Complainant</li> </ol>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| <i>Respondent</i>                       | <ol style="list-style-type: none"> <li>1. Presumption of innocence of wrongdoing until a finding of Research Misconduct is made by the University</li> <li>2. Respond truthfully and accurately to questions and requests during the Research Misconduct Proceedings</li> <li>3. Duty to cooperate with all phases of the Research Misconduct Proceedings, as requested by the University, including Sequestration of Research Records relevant to the Allegations</li> <li>4. Maintaining confidentiality throughout the duration of the Research Misconduct Proceedings</li> <li>5. Disclose any known Conflicts of Interest to the RIO</li> <li>6. Maintain and submit Evidence to ULORI, RIO, Inquiry, or Investigation Panel</li> <li>7. Overcome the burden of proof, by a Preponderance of Evidence, any defenses to the Allegations of Research Misconduct, such as honest error or difference of opinion.</li> <li>8. Participate in interviews requested by the Inquiry and/or Investigation Panel</li> <li>9. Review and provide written comments to the draft Inquiry report</li> <li>10. Review and provide written comments to the draft Investigation report</li> <li>11. Work with RIO and any other appropriate Institutional Officials or publishers to correct, retract, or withdraw the Research Record where errors have been verified, regardless of whether the error rises to the level of a Research Misconduct finding</li> <li>12. Report to the RIO any instances of Retaliation experienced based upon the role of the Respondent</li> <li>13. Request to receive reasonable and practical assistance from the University in the restoration of reputation, if no finding of Research Misconduct is made</li> </ol> |
| <i>Research Integrity Officer (RIO)</i> | <ol style="list-style-type: none"> <li>1. Oversee this policy and the implementing procedures associated with this policy</li> </ol>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |

2. Maintain objectivity regarding the veracity of the Allegations and throughout the Research Misconduct Proceedings to achieve consistency and fairness
3. Advise on whether the circumstances described by University members appear to meet the definition of Research Misconduct
4. Assess submitted Allegations to ascertain whether they could, if true, constitute Research Misconduct
5. Determine when Allegations warrant further Inquiry
6. Oversee Sequestration of Research Records and Evidence and maintain chain of custody
7. Advise and assist Inquiry and Investigation Panel and other institutional personnel participating in Research Misconduct Proceedings in complying with this policy, including assembling Evidence, conducting interviews, and preparing reports
8. Coordinates the use of expert or external consultants or witnesses during the Inquiry and/or Investigation
9. Oversee procedural steps required when a Respondent makes an admission so that the Research Misconduct Proceedings can be appropriately closed
10. Provide information about the status of the Research Misconduct Proceedings and respond to inquiries from the Deciding Official, the Respondent, and relevant external agencies to the extent required by law and the Research Misconduct policy
11. Forward notice of institutional determination, final Investigation report, and documentary Evidence to the relevant oversight agency or funding entity.
12. Ensure that Respondent receives all notices and opportunities provided for under the Research Misconduct policy and procedure
13. Maintain the records of Research Misconduct Proceedings confidentially and securely
14. Request legal advice and consult as needed from the Office of University Counsel concerning the application and interpretation of this policy and applicable laws.
15. Coordinate with outside institutional officials as necessary and appropriate when it is determined that present or former UofL research personnel are the subject of or involved with complaints or Investigations that involve outside institutions
16. Refer Allegations that do not meet the definition of Research Misconduct under this policy to the appropriate University office or external entity.

*Inquiry/Investigation Panel Chair*

1. Serves as the individual who takes the lead in compiling the committee's findings.
2. Handles the compilation of comments from the other committee members into the final committee report and
3. Ensures the report is distributed to the committee members for final signature, in cooperation with ULORI.
4. Ensures that the Respondent is afforded the opportunity to comment, that the Respondent's comments/responses are considered by the committee, and that the Respondent's comments/responses are reflected in and/or attached to the final committee report.

*Inquiry Panel*

1. Conducts an initial review of the available Evidence to determine whether or not to conduct an Investigation
2. Determines whether the Allegations of Research Misconduct appear to be well-founded, the seriousness of the alleged Research Misconduct, and the scope of the alleged incident(s)
3. Identify, in the course of its duties, issues that would justify broadening the scope beyond the initial Allegations, and may recommend that UofL examine these issues

*Investigation Panel*

1. Conducts a thorough examination of all facts and Evidence relevant to the Allegations, including interviewing the Respondent, Complainant, and others as necessary and appropriate, to determine based on a Preponderance of Evidence whether Research Misconduct has occurred and, if so, to determine the responsible person(s) and the nature and seriousness of the Research Misconduct
2. Identify, in the course of its duties, if there are issues that would justify broadening the scope beyond the initial Allegations, and may recommend that the University examine these issues
3. Prepares a final report that meets the requirements as outlined in the Research Misconduct policy and procedure, including a finding for each Allegation of whether Research Misconduct occurred, the nature and seriousness of the misconduct, and the responsible individual(s)
4. Provide recommendations on appropriate Corrective Actions or sanctions to restore the scientific/scholarly record

*Deciding Official*

1. Review the preliminary assessment report and make a final determination
2. Affirm dismissal or refer a Complaint to Inquiry as set forth in the Research Misconduct policy
3. Delegate authority to conduct Inquiry to RIO and staff in ULORI, in consultation with Inquiry and Investigation Panels
4. Review the final Inquiry report and rule on the decision of Inquiry as set forth in the Research Misconduct policy and procedure
5. Delegate authority to establish an Investigation Panel to RIO and Inquiry and Investigation Panels
6. Review the final Investigation report and provide written notice of the decision to RIO and Respondent(s)
7. Review admissions or resolutions as set forth in the Research Misconduct policy and procedure
8. In consultation with RIO, determine when the release of information is necessary or appropriate
9. Take appropriate administrative actions as set forth in the Research Misconduct policy and procedure

*Executive VP, Research and Innovation (EVPRI)*

1. Ensures the implementation of the Research Misconduct policy
2. Oversees the implementing procedures associated with the Research Misconduct policy
3. Serves as the responsible Institutional Official for Research Misconduct matters

*UofL Office of Research Integrity (ULORI)*

4. Appoints at least one RIO responsible for assuring compliance with the Research Misconduct policy and procedure
5. Serve as the Deciding Official, unless an identified Conflict of Interest is present

1. Serve as the University's independent and objective agent in Research Misconduct Proceedings
2. Supports and facilitates the Research Misconduct processes
3. Maintains strict confidentiality relative to any Research Misconduct Allegations and Proceedings
4. Authorized to appropriately sequester Research Records and/or other relevant information and documentation relative to the Allegations of Research Misconduct
5. Formalizes Allegations of Research Misconduct with the Complainant,
6. Obtains, disseminates, and summarizes information relative to the Allegations of Research Misconduct
7. Secures and stores relevant information for the Inquiry and Investigation committees
8. Engages committee members and facilitates committee meetings, as necessary, to appropriately address Allegations of Research Misconduct
9. Serves as the liaison, as appropriate and necessary, among the committee members, the Complainant, and the Respondent
10. Educates University members about UofL's process for Research Misconduct Proceedings
11. Provides ongoing support and guidance to the committee members throughout the Research Misconduct Proceedings
12. Maintain official University record of all ongoing and closed Research Misconduct Proceedings
13. Take all reasonable and practical steps to ensure that all evidence is sequestered either before or at the same time as the institution notifies a Respondent of a Complaint
14. Notifies the University's Chief Compliance Officer and/or designated official within the University Integrity and Compliance Office of Investigations into Allegations of Research Misconduct.
15. File an annual report with the Federal Office of Research Integrity (ORI) in the U.S. Department of Health and Human Services Department containing the information specified by ORI on institutional compliance with federal regulations on Research Misconduct

*University Officials (beyond EVPRI)*

1. Immediately refer Allegations of Research Misconduct to ULORI to trigger the procedures described in the Research Misconduct policy
2. Take reasonable steps to minimize damage to reputations, if confidentiality is breached
3. Take steps to rectify injury done to reputations upon a finding of Retaliation as set forth in the Research Misconduct policy and procedure

*Witnesses*

1. Cooperate with a Research Misconduct preliminary Assessment, Inquiry, or Investigation
2. Provide truthful and relevant Evidence during Research Misconduct Proceedings
3. Keep confidential all information regarding Allegations and proceedings as set forth in the Research Misconduct policy and procedure
4. Disclose to RIO any Conflict of Interest as set forth in the Research Misconduct policy

*Other Proceeding participants not already noted*

1. Cooperate with a Research Misconduct preliminary Assessment, Inquiry, or Investigation
2. Provide relevant Evidence during Research Misconduct Proceedings
3. Keep confidential all information regarding Allegations and Research Misconduct Proceedings as set forth in the Research Misconduct policy and procedure
4. Disclose to RIO any Conflict of Interest as set forth in the Research Misconduct policy

*University Community*

1. Guard against Research Misconduct by themselves, their colleagues and collaborators, and the people they teach or supervise
2. Report Research Misconduct to the RIO. If an individual is unsure whether a suspected incident falls within the definition of Research Misconduct, the individual may consult the RIO informally
3. Cooperate with a Research Misconduct preliminary Assessment, Inquiry, or Investigation
4. Provide relevant Evidence during Research Misconduct Proceedings

*University Counsel*

1. May not serve as RIO or DO
2. May not serve as advisor to Respondent or Complainant
3. Reviews reports for legal sufficiency
4. May advise DO on application of Interim and Administrative Actions