### Revised Research Misconduct Policy



Faculty Senate Briefing October 1, 2025

Presented by: UofL Office of Research Integrity

#### Research Misconduct Currently



Prior regulations in place since 2005

All Institutions of Higher Education receiving funds from the Public Health Service (includes NIH) must have a compliant policy on file with Federal ORI



**UofL Specific** 

Current policy, while compliant with regulatory requirements, does not cover all reported situations

#### Research Misconduct Process Institutional Decision and Allegation Inquiry Investigation Assessment Action Allegation Received Is there a RM Open Inquiry Open Investigation Open Assessment finding? Yes e Institutional Ν̈́ο Is it RM or QRP? Decision Investigation Report Inquiry report drafted drafted Does it meet RM criteria? Initiate Communicate Ν̈́ο Corrective Institutional Action Decision Yes Respondent report Respondent report review and review and comment comment No Does item need referral to another Create office? Archive File (7+ years) DO review of DO review of Inquiry Report Investigation Report End RM Process, No Send Referral Begin QRP Process Case Closed Is investigation warranted? Close Allegation

#### Research Misconduct Revision



#### **New Federal Regulations**

Became effective January 1, 2025

All Institutions of Higher Education have until **January 1, 2026,** to adopt a compliant policy



#### **UofL Specific**

New procedures for Questionable Research Practices added to address reported issues that do not meet the federal definition of research misconduct or fall outside the jurisdiction of a funding agency with established rules/regulations



Inquiry processes can be completed by Research Integrity Officer **or** Inquiry Panel



Investigation timelines have been lengthened



More guidance has been provided to assist institutions in determining intent





Self plagiarism and authorship disputes have specifically been excluded from the federal research misconduct definition



Confidentiality provisions have been modified to facilitate corrective actions by the institution before funding agencies have decided at the federal level



Public Health Service
affirms that institutional
findings are still binding
even if federal process is
not complete or federal
Office of Research Integrity
elects not to make a finding
at the federal level

## Additional information

# Development of Educational Resources to assist in rollout

Guidance Manuals for key roles (Respondent, Complainant, Panel Members, etc.) have been developed to assist individuals participating in proceedings to understand process steps and explain expectations

Educational videos
will be developed and
made available as part
of the revised policy
rollout

Responsibilities matrix
developed so that
parties will better
understand the
role/expectations of
participation in a
research misconduct
proceeding

#### Provide Feedback

#### Please submit feedback at

• <a href="https://forms.office.com/r/F3fzvfbt6p">https://forms.office.com/r/F3fzvfbt6p</a>

Deadline for feedback is October 31, 2025