

Revision of Policy 1.2 (Academic Misconduct)
To
Policy 1.2 (Research Integrity)

Overview of the Revision and the Changes
Feb 1, 2021

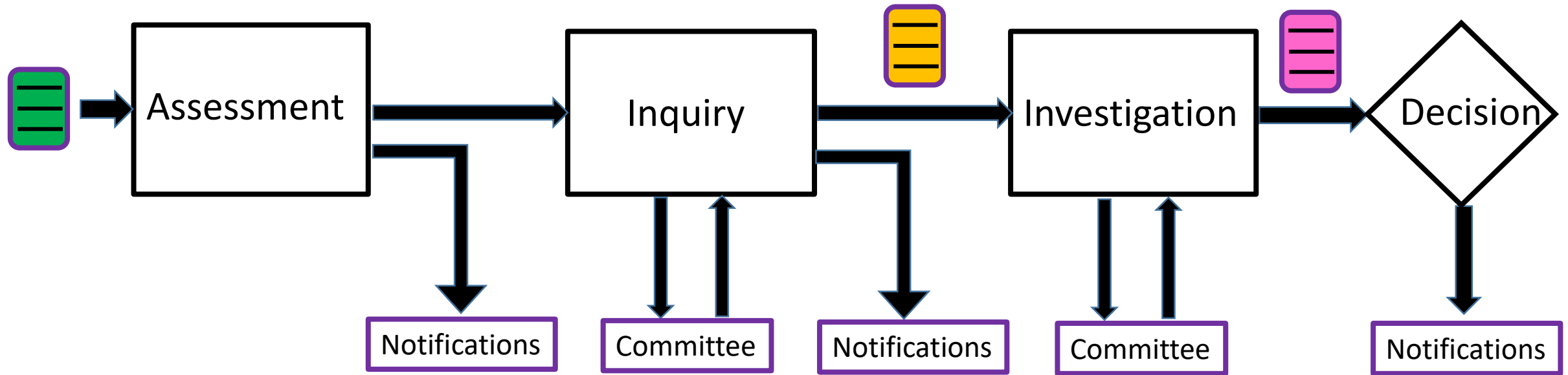
Details

This [website](#) has links to the revised policy and background material.

Readers can comment on various sections of the revision and see side-by-side comparisons with the current version of Policy 1.2.

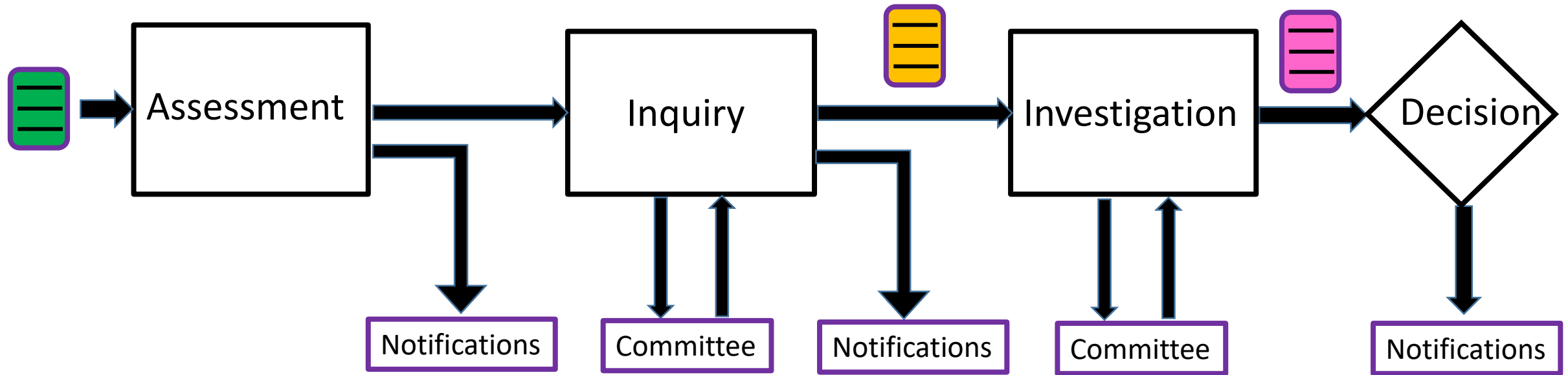
What follows is a quick review for the busy reader.

Overview Showing How the Policy Works



The complainant alleges that the respondent violated Policy 1.2. The allegation is assessed to see if the misconduct is research misconduct or research-related misconduct. If so, a process is launched that involves an inquiry to see if the allegations are substantive and a possible follow-up investigation that offers a verdict. Along the way there are faculty committees that review the case, various notifications and reports, and careful measures that ensure confidentiality.

The Players



The **Deciding Official** is currently the Vice President for Research and Innovation.

The **Research Integrity Officer** is the Chief Research Compliance Officer or suitable delegate.

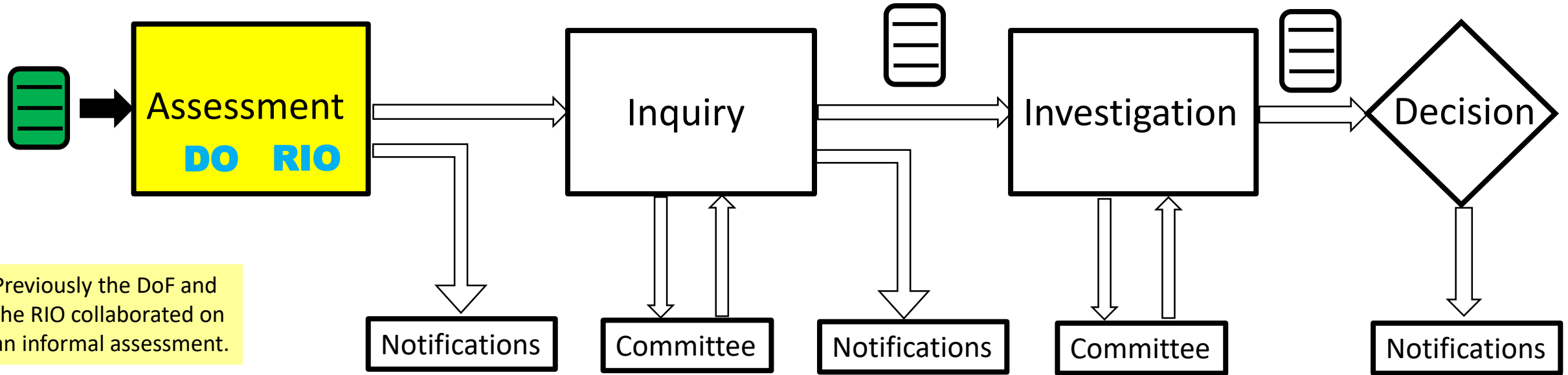
The **Complainant** is the party who makes the allegations. Need not be a member of the Cornell community.

The **Respondent** is the object of the complaint. Must be a member of the Cornell community.

Major Changes

1. Aligns with federal requirements more fully.
2. Reduced DoF workload while maintaining oversight.
3. Having an Inquiry Committee is now required.
4. All procedures and roles described in greater detail.
5. Improved mechanisms for archiving records.
6. Heightened guardrails to preserve confidentiality.
7. Annual report to the DoF and Faculty Senate.

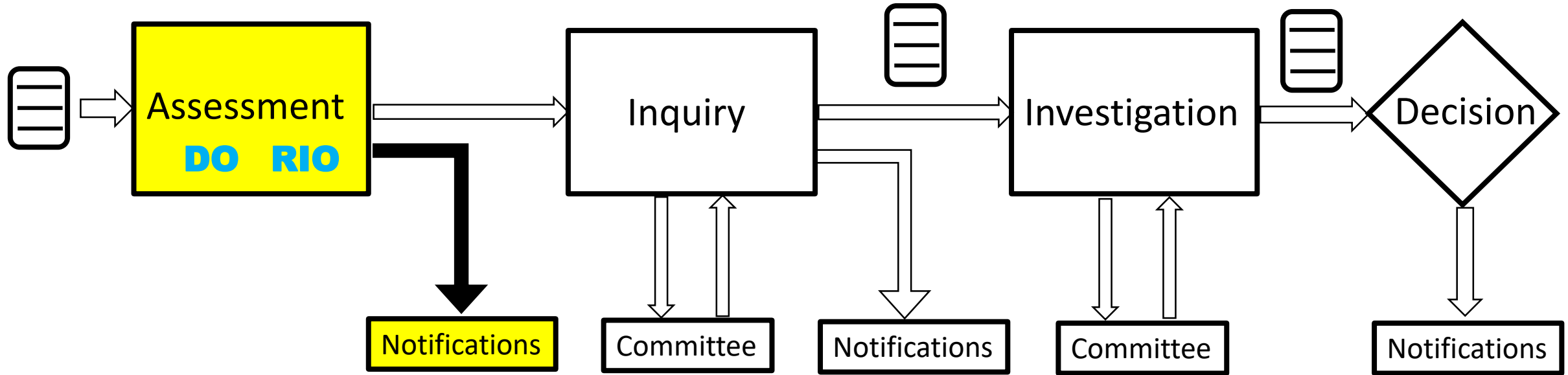
Step 1a: An Allegation is Received and Assessed



Previously the DoF and the RIO collaborated on an informal assessment.

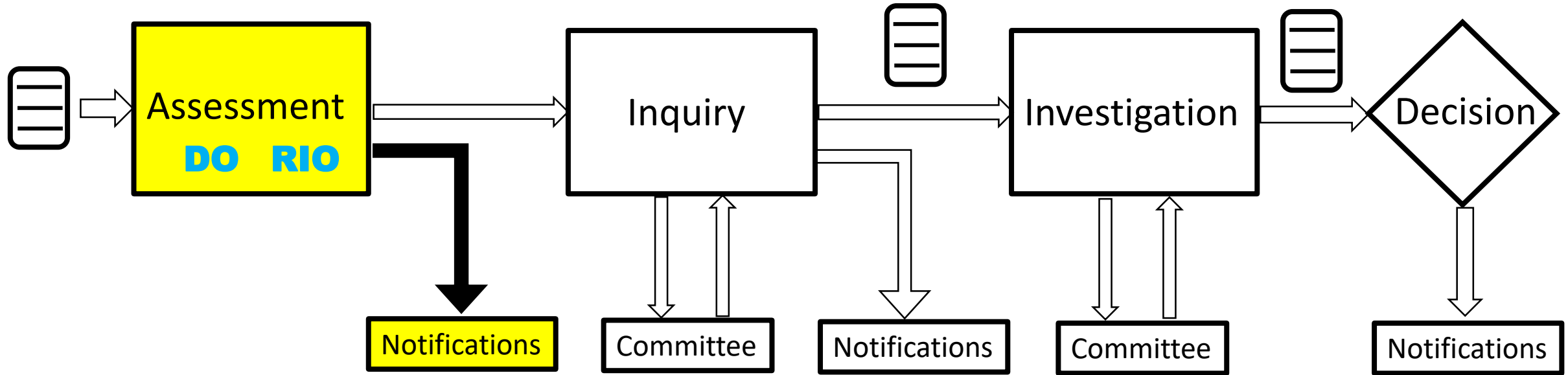
Are the allegations credible and sufficiently detailed? Is the behavior misconduct under another university policy, e.g., the [Code of Academic Integrity, Policy 6.3](#) (Consensual Relationships), [Policy 6.4](#). (Harassment/Bias), [Policy 3.6](#) (Financial Irregularities) etc? If so, the complainant is informed and the case is forwarded to the office in charge of the relevant policy. Learn more and post comments [here](#)

Step 1b: It is Decided that Further Policy 1.2 Processing **IS NOT WARRANTED**.



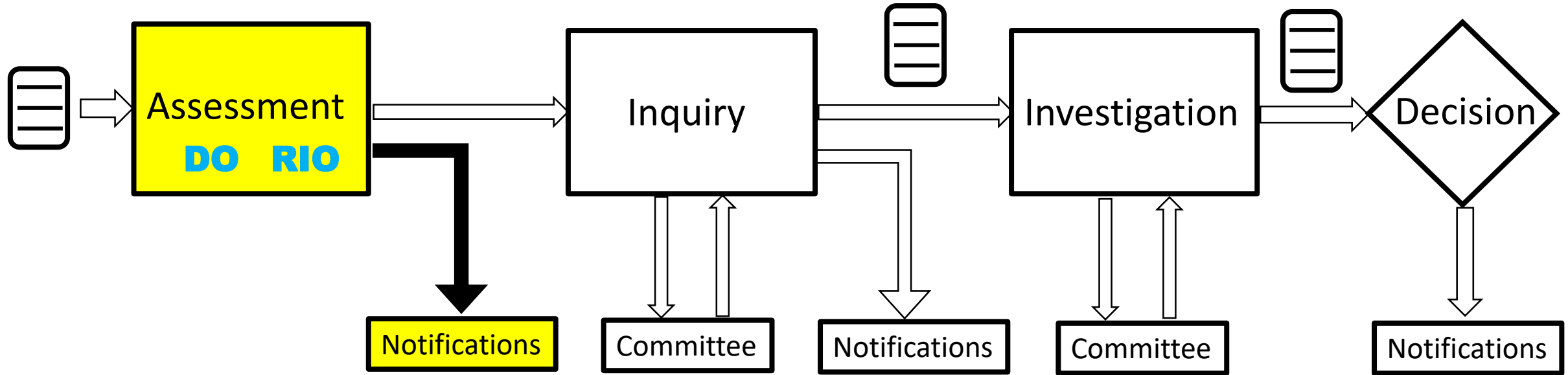
The RIO and DO determine that an inquiry under this policy is not needed. The DO may require the respondent to engage in appropriate remedial activities, such as taking a course or attending a workshop on responsible conduct in research. An individual complainant will be informed about the general outcome of their complaint. Learn more and post comments [here](#).

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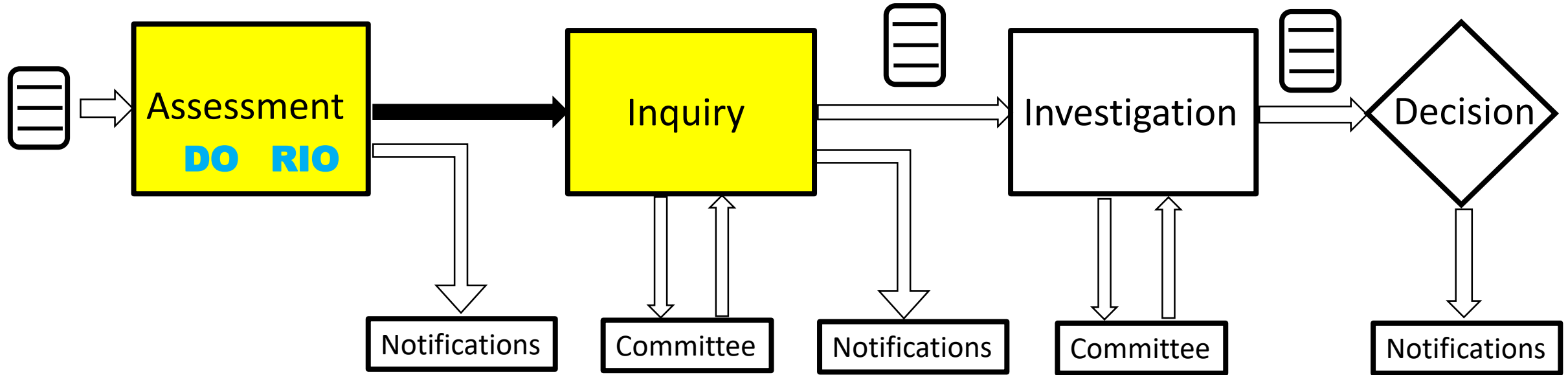
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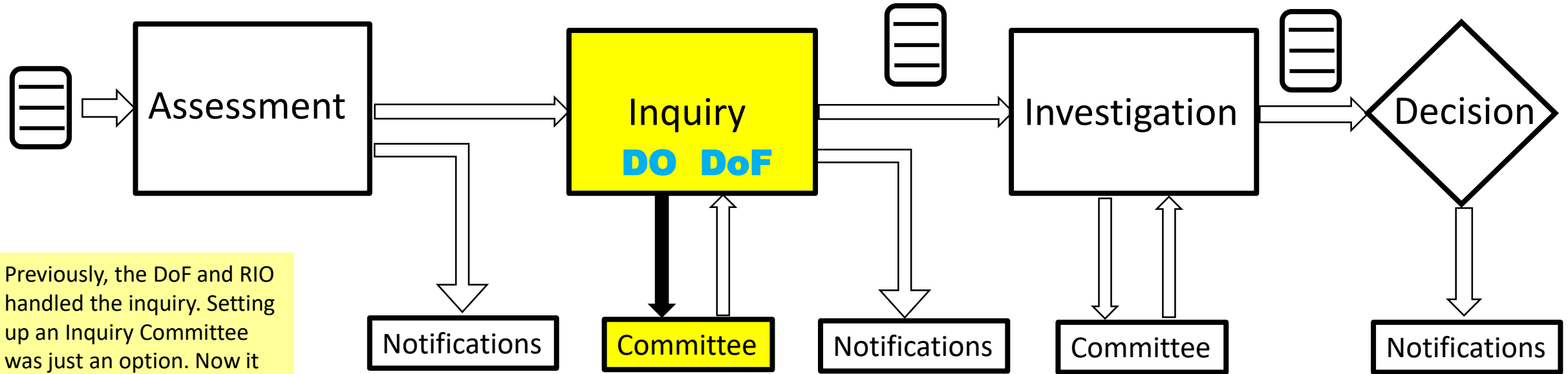
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Step 1c: It Is Decided that Further Policy 1.2 Processing **IS WARRANTED**



The assessment concludes that it is necessary to stage an Inquiry because the allegation is sufficiently credible and specific. The purpose of the Inquiry is to determine if there is sufficient evidence to suggest that research misconduct may have occurred. There is no assumption of guilt or innocence during the Inquiry. The Inquiry is grand jury-like.

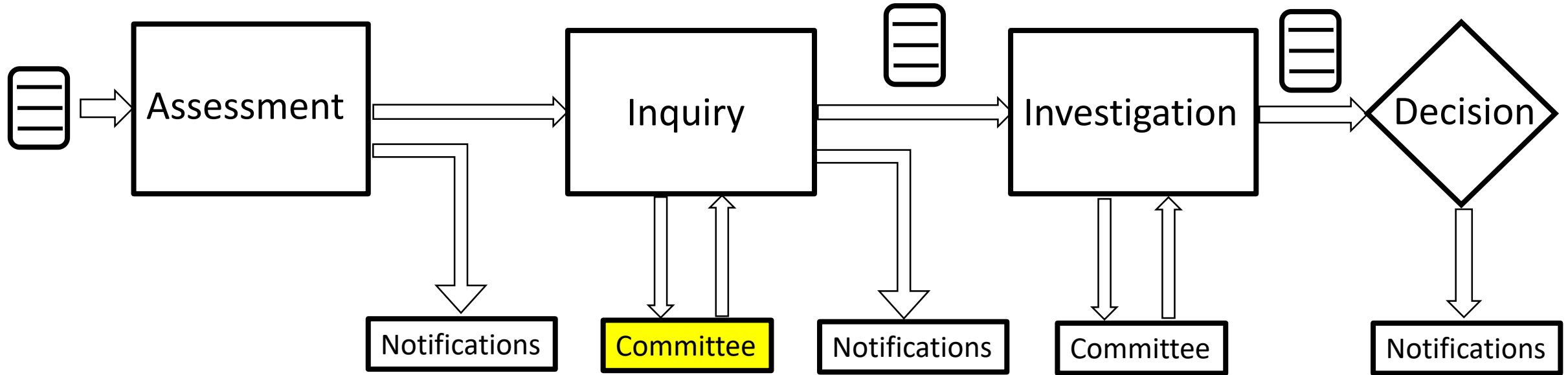
Step 2a: The Inquiry Committee Is Set Up



Previously, the DoF and RIO handled the inquiry. Setting up an Inquiry Committee was just an option. Now it would be required.

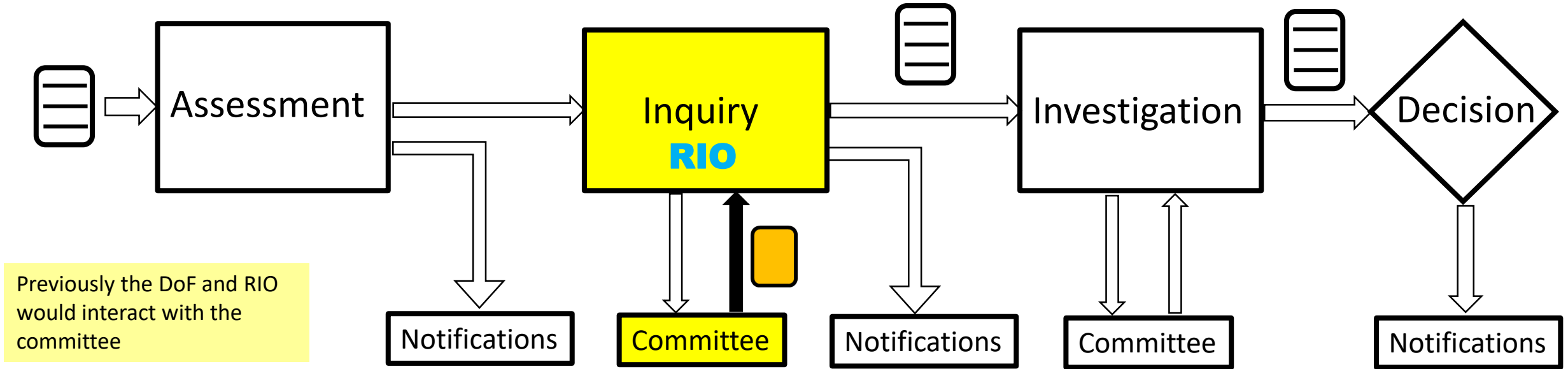
The DO consults with the DoF. The inquiry committee will consist of individuals (or a single individual) selected from among the faculty and administration. Members should have sufficient expertise to evaluate the evidence and issues related to the allegation, interview the principals and key witnesses, and conduct the inquiry. Learn more and post comments [here](#).

Step 2b: The Inquiry Committee Reviews the Allegations



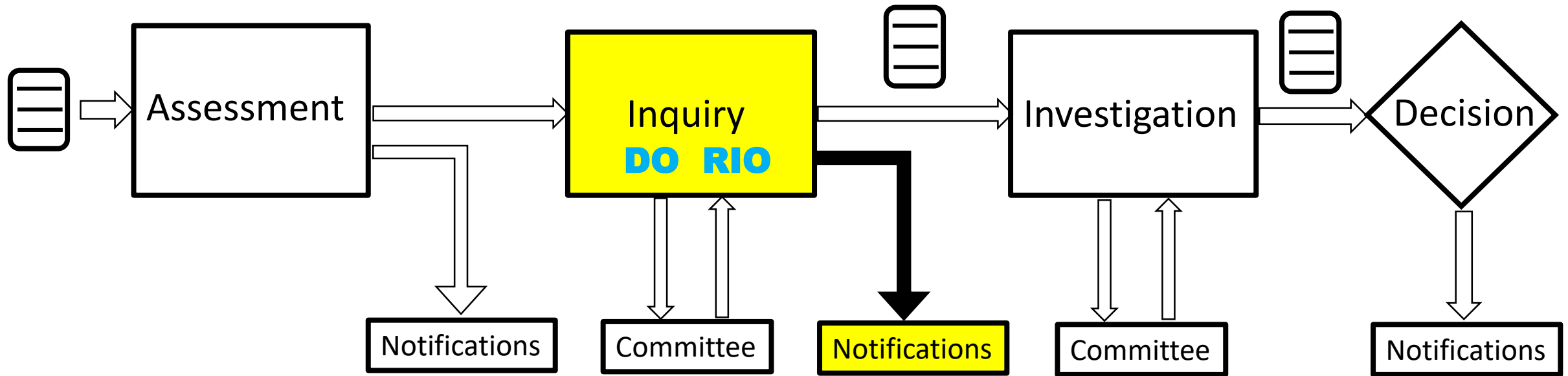
The inquiry will generally involve interviewing the complainant, the respondent and key witnesses as well as examining relevant research records and materials. Evidence will then be evaluated including the testimony obtained during the inquiry. Learn more and post comments [here](#).

Step 2c: The Inquiry Committee Transmits Its Report to the RIO



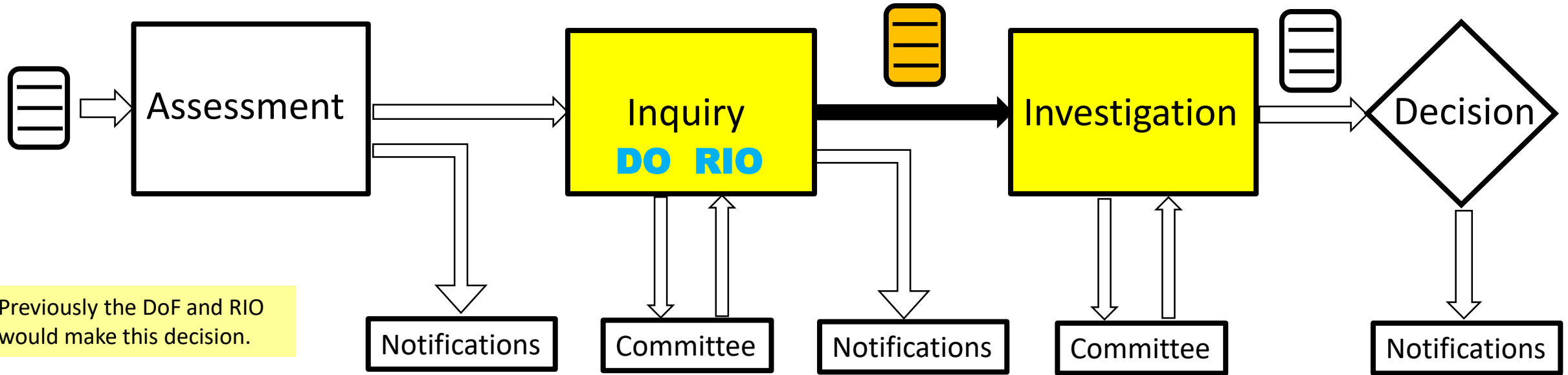
The Committee's report describes the basis for recommending or not recommending that the allegations warrant an investigation. The respondent and complainant are given the opportunity to comment on the report and those comments become part of the record. Learn more and post comments [here](#)

Step 2d: The RIO Decides That an Investigation IS NOT Warranted



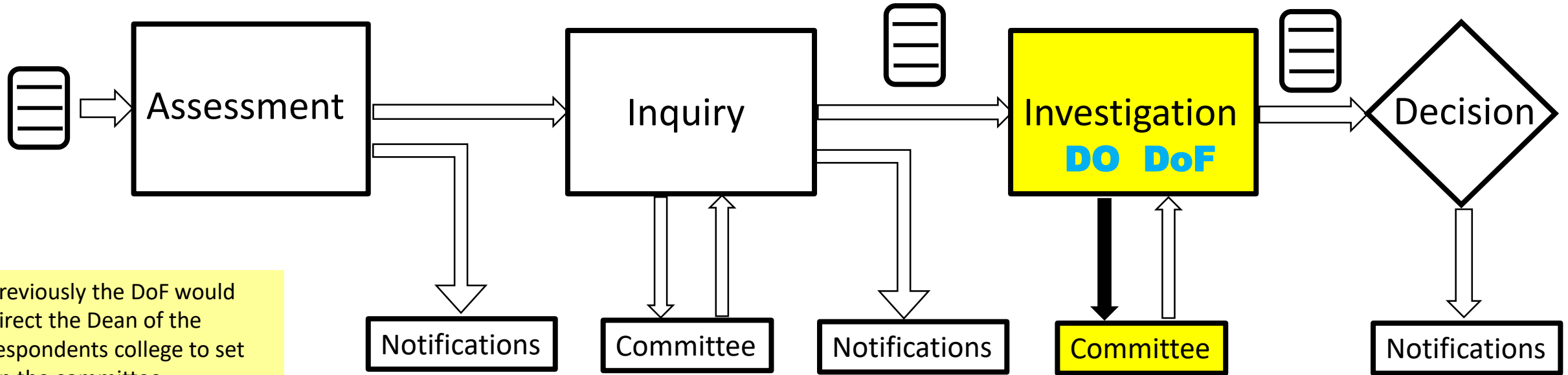
The RIO shall secure and maintain for 7 years after the termination of the Inquiry, sufficiently detailed documentation including the reasons why an investigation was not conducted. Records are made available to outside agencies as required. The respondent and complainant are informed that there will not be an investigation. Learn more and post comments [here](#).

Step 2e: The DO Decides That an Investigation **IS WARRANTED**



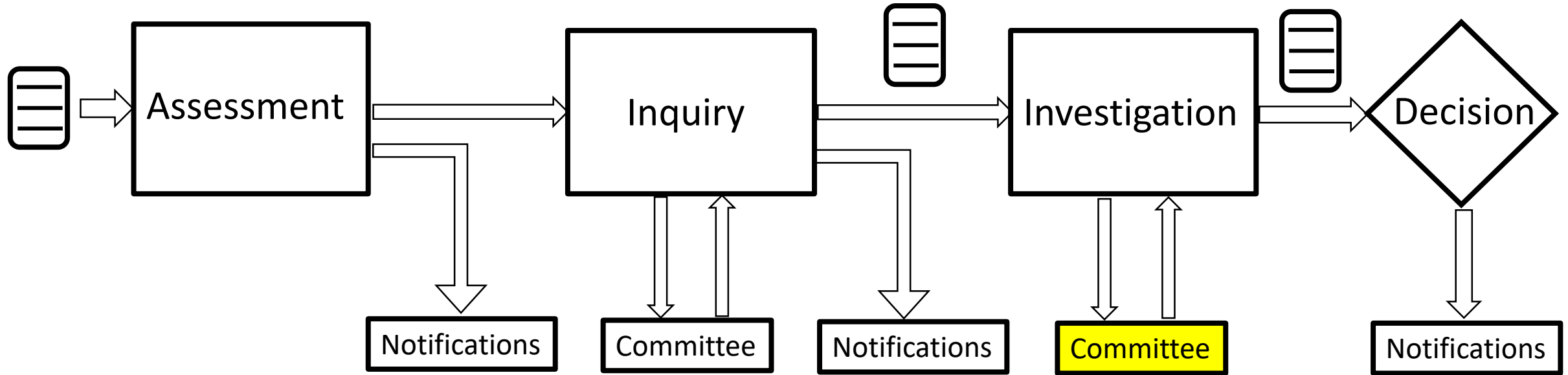
The final report includes the research records and evidence reviewed, transcripts of all interviews, copies of all relevant documents, and the charges to be considered in the investigation. The RIO will also notify those institutional officials who need to know of the DO's decision. Learn more and post comments [here](#).

Step 3a: The RIO Proceeds to Set Up an Investigation Committee



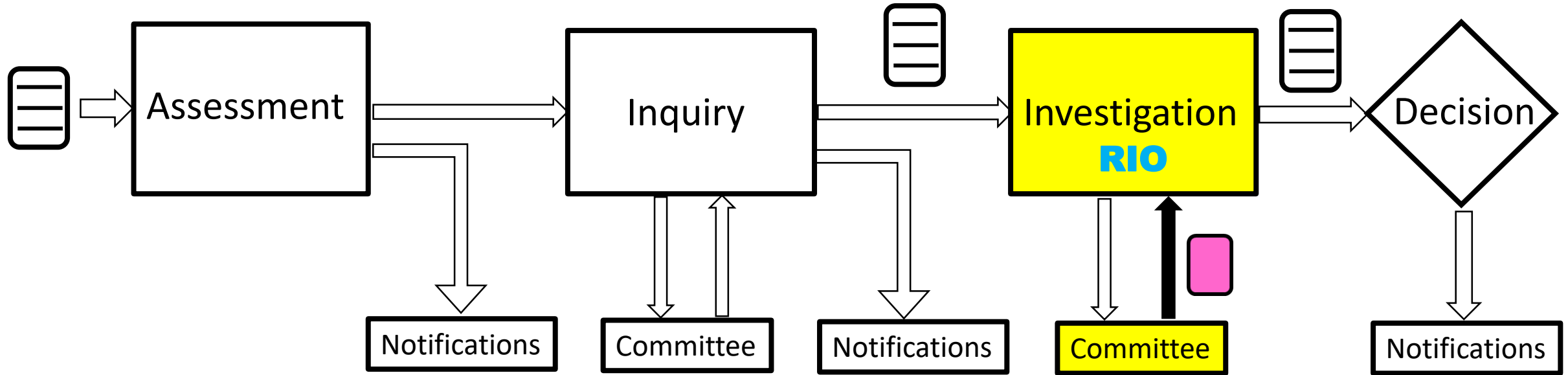
The respondent (and as applicable, the complainant) is made aware of the allegations to be investigated. Federal funding agencies must be notified as appropriate. The DO, in consultation with the Dean of Faculty and other institutional officials as appropriate should identify members. Learn more and post comments [here](#).

Step 3b: The Investigation Committee Reviews the Case



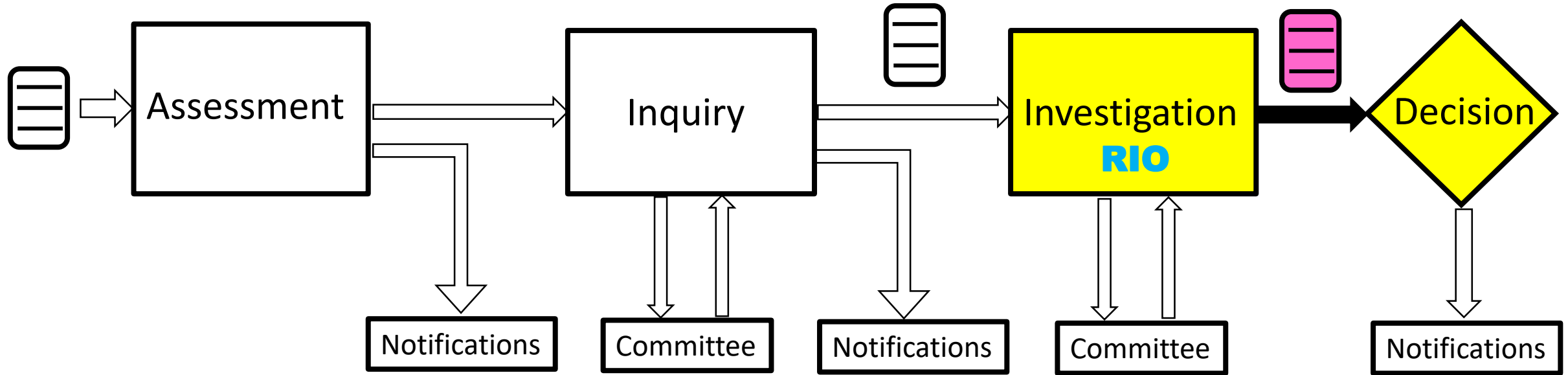
The committee shall fully investigate and document the charges set forth, and recommend appropriate action based on an examination of all research records and evidence relevant to reaching a decision on the merits of each allegation and any evidence of further misconduct that may emerge. Learn more and post comments [here](#).

Step 3c: The Investigation Committee Transmits Its Report to the RIO



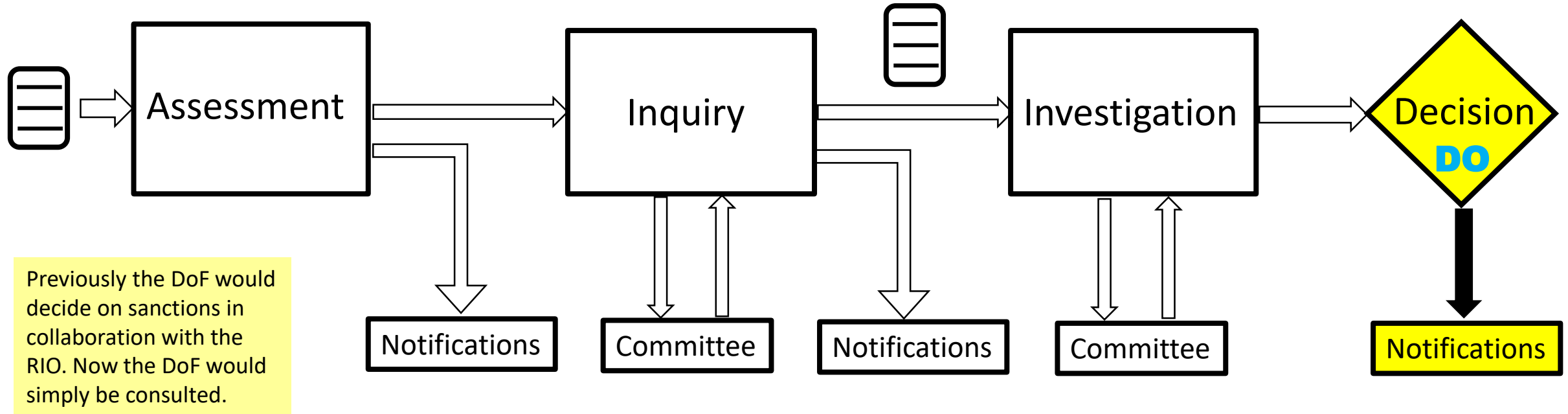
In distributing the draft report, or portions thereof, to the respondent and complainant, the RIO will inform the recipient of the confidentiality under which the draft report is made available and may establish reasonable conditions to ensure such confidentiality. For example, the RIO may require that the recipient sign a confidentiality agreement. Learn more and post comments [here](#).

Step 3d: The RIO Transmits the Final Report to the DO



The RIO will assist the Investigation Committee in finalizing the draft investigation report, including ensuring that the respondent's and complainant's comments are included and considered as appropriate, and transmit the final investigation report to the DO. Learn more and post comments [here](#).

Step 4: The DO Acts on the Final Report



DO will consult with the DoF and determine in writing: (1) whether the university accepts the investigation report and findings; and (2) the appropriate institutional actions in response to the accepted findings of misconduct. Learn more and post comments [here](#). The respondent can [appeal the outcome](#) to the Provost.

Timeline

