UIC PROCEDURE

UNIVERSITY OF ILLINOIS CHICAGO

Title: University of Illinois Chicago Procedures for Adjudicating Allegations of Misconduct in Research and Scholarly Activities
Vice Chancellor/Associate Chancellor: Vice Chancellor for Research
Unit Responsible: Office of the Vice Chancellor for Research
Effective Date: January 1, 2026
Contact: RIO@uic.edu

I. STATEMENT

All University of Illinois Chicago ("University") Institutional Members are expected to conduct Research and Scholarly Activities to the highest level of integrity. When Research Misconduct is alleged, the *University of Illinois System Policy on Integrity in Research and Scholarly Activities* ("Research Integrity Policy"), approved by The Board of Trustees of the University of Illinois will be followed using these procedures.

II. SCOPE AND COVERAGE

The University's *Procedures for Adjudicating Allegations of Misconduct in Research and Scholarly Activities* ("Procedures") apply to all Institutional Members, as defined by the Research Integrity Policy. Codes of conduct and other University of Illinois System and University policies will be consulted and followed, as appropriate. Matters outside the scope of the Research Integrity Policy and Procedures may be referred to appropriate offices at any time in a Proceeding.

III. BACKGROUND AND PURPOSE

This document articulates the University of Illinois Chicago's Procedures as required by the Research Integrity Policy. The definitions, provisions, and other policy elements contained in the Research Integrity Policy are incorporated by reference into these Procedures. Capitalized terms used in these Procedures shall have the same meanings as such terms are defined in the Research Integrity Policy, unless otherwise defined herein.

IV. GENERAL PROVISIONS

A. Additional Allegation(s)

New Allegations may be incorporated into an ongoing Proceeding at any point in a Proceeding. At any point during a Proceeding after the Assessment, the Vice Chancellor for Research, in consultation with the RIO, shall assess any newly identified Allegation(s). If new

Allegation(s) are found to meet the provisions described in Procedures §V.D.1.-3., below, the Vice Chancellor for Research shall determine if the new Allegations will be integrated into the ongoing Proceeding or a new Proceeding will be initiated. The Respondent shall be notified of the new Allegation(s) promptly.

B. Additional Respondent(s)

Additional Respondent(s) may be added at any stage to the ongoing Proceeding as determined by the Vice Chancellor for Research.

An extension to the Proceedings will be requested by the RIO to maintain each additional Respondent's ability to defend, if one or more additional Respondents are identified during the Inquiry or Investigation stage.

A separate Inquiry is not required for additional respondents identified during an existing Proceeding.[42 CFR 93.305(d)]

1. An Additional Respondent identified by the Inquiry Team in the Inquiry Report shall be notified of the completed Inquiry and any additional Allegations not examined as part of the Inquiry Report. The Additional Respondent shall receive a copy of the Inquiry Report. The copy of the Inquiry Report may be redacted. The Additional Respondent will be notified of the right to comment on the Inquiry Report and any additional Allegations and Challenge the Inquiry Team.
2. An Additional Respondent identified by the Investigation Panel shall be notified of the completed Inquiry and any additional Allegations not examined as part of the Inquiry Report.
    a. If Allegations for the Additional Respondent were reviewed as part of the Inquiry, the Additional Respondent shall receive a copy of the Inquiry Report. The copy of the Inquiry Report may be redacted. The Additional Respondent will be notified of the right to comment on the Inquiry Report and any additional Allegations, and the Additional Respondent may Challenge the Inquiry Team and the Investigation Panel that identified the Additional Respondent.
    b. If the Allegations for the Additional Respondent were not reviewed as part of the Inquiry, the Additional Respondent may Challenge the Investigation Panel that identified the Additional Respondent.

The Vice Chancellor for Research shall review notification of completed Inquiry, the Inquiry Report (if received), Notification of Allegations, and any written comments by the Additional Respondent before determining if the individual will be named an Investigation Respondent.

Regardless of when an additional Respondent is, or multiple Respondents are, identified in the Proceedings, Respondent(s) will be promptly notified.

C. Amendments to the Procedures

The RIO is responsible for ensuring that these Procedures are consistent with the Policy and federal agency requirements. The Vice Chancellor for Research may approve revised Procedures and set a date on which the revisions become active.

D. Anonymous Complainant(s)

The University is not obligated to notify a Complainant who requests to remain anonymous.

E. Consultant(s) and Assistants

External individual(s), consultant(s), consortia, or entities may assist the RIO or act as RIO to lead a Proceeding under the Research Integrity Policy and these Procedures.

Institutional Members may assist the RIO in administering a Proceeding.

F. Deadlines and Extensions to Deadlines

The Research Integrity Policy and Procedures describe deadlines generally in terms of days. All deadlines require that information be submitted by close of business (5:00 p.m. Central Time) on the specified day or the next business day, if the deadline falls on a weekend or designated UIC holiday.

Requests for extensions must generally be submitted to the RIO a minimum of 2 business days prior to the deadline to be considered.

Extensions granted will typically not exceed the time period that was initially allocated to meet the deadline.

Only one extension for a specific reason will typically be granted.

The RIO shall cause the Respondent, UEO, Dean, and any other individuals that have a need-to-know to be notified of the internal extension and reason for the internal extension.

G. Interim Actions

Any Interim Actions taken will be reported to appropriate sponsors, journals, publishers, or others as required by policy, regulation, and law.

H. Interview

An interview involves, at minimum, the participation of:

a) an interviewee, e.g., Respondent, Complainant or witness;
b) the Inquiry Team or Investigation Panel; and
c) the RIO and, optionally, staff.

The interviewee and/or the RIO may bring a consultant, as described by the Research Integrity Policy §VI.16.

A discussion between the RIO and a Respondent, Complainant, or witness, is not considered an interview for the purposes of these procedures.

A Respondent, Complainant, or witness does not have the right to attend or participate in the interviews of other interviewees.

Interviews, as defined by the Research Integrity Policy, may be conducted by any practical means, including in person interview, teleconference interview, videoconference interview, or written questionnaire.

Interviews, as defined by the Research Integrity Policy, may be of any length of time and may occur in any number of instances. The Respondent or witness is required, under Research

Integrity Policy §VI.9., to cooperate by participating in any interviews that are determined to be necessary by the Inquiry Team and/or Investigation Panel.

Interview exhibits may include Evidence collected as part of the Proceeding or visual displays that are created by or at the direction of the Inquiry Team or Investigation Panel.

Interview exhibits will be shared with the interviewee when exhibits are shown in the interview.

Interview transcriptions will be shared with the interviewee after all expected interview session(s) with that interviewee are completed. A transcriptionist or court reporter may attend the interview.

I. Joint Investigation

The RIO, after consulting the Vice Chancellor for Research, may contact the RIO at another institution to examine the need to initiate a joint Proceeding when there is reasonable belief that the Allegations are also under the jurisdiction of the other institution due to Research or Scholarly Activities being conducted at that institution, joint appointments held by Respondents, prior employment by the Respondent, collaborative Research or Scholarly Activities bridging the institutions, co-authored works that bridge the institutions, or other related reasons.

A memorandum of understanding (MOU) and non-disclosure agreement will, typically, be utilized to address the policies and regulations under which the Proceeding will occur, including addressing how discrepancies will be handled. In most cases, a lead institution will be named.

Unredacted Inquiry Reports and Investigation Reports will only be shared with joint institutions when the joint institution(s) have jurisdiction over the Respondent(s) and as described in the MOU.

J. Multiple Allegations

A single Proceeding shall be initiated for related Allegations or Allegations brought forth during a Proceeding, unless so determined by the Vice Chancellor for Research.

K. Multiple Respondents

A single Respondent or multiple Respondents may be named under a single Proceeding. The procedures of the particular stage of the Proceeding will be followed to determine if the Respondent will be added to an ongoing Proceeding. Each Respondent will receive a separate Inquiry Report or Investigation Report, except as described under Procedures §IV.B., above.

L. Notice in Writing

Notice in writing may be provided electronically through University-supported information technology solutions appropriate to the Proceedings.

M. Records Retention

The RIO shall expunge all reference to the matter as allowed by law, regulation, and University statutes if the Proceeding is closed prior to Investigation.

The RIO shall secure and maintain for 7 years after the termination of the Inquiry sufficiently detailed documentation of the Proceeding to permit a later re-assessment of the Allegations or review as part of another Proceeding. A record of the Assessment or the Institutional Record of a Proceeding will be retained as required by UIC policy, regulations, and to allow re-assessment of a Proceeding should additional information be identified or a new Complaint submitted related to or involving any of the Institutional Members for the prior Proceeding.

Upon completion of their roles, Inquiry Team members, Investigation Panel members, and witnesses will return to the RIO all copies of Information or will otherwise dispose of and surrender access to the Information in accordance with instructions of the RIO. These individuals shall not publicize, discuss, or disclose any information related to Proceedings except as necessary pursuant to the Research Integrity Policy, these Procedures, or as otherwise required by law.

V. ALLEGATION AND ASSESSMENT

A. Complaint

The RIO, upon receiving a Complaint, will inform the Respondent's UEO, if not previously informed. Unless an Allegation clearly falls outside the scope of the Research Integrity Policy, the RIO, shall bring the Allegation to the attention of the Dean(s), Dean's designee, or equivalent administrator (hereinafter "Dean") for each Respondent.

B. Allegation Drafting

The RIO or delegate shall begin to draft one or more Allegation based on the Complaint.

The Assessment period should be brief, but the Assessment period should be long enough for sufficient information to be brought forth to decide whether or not to move to Inquiry.

C. Multiple Colleges and/or Units

The Deans from all units shall jointly determine whether an Inquiry is required, if an Allegation involves more than one unit.

D. Decision by the Dean

Within 14 calendar days after an Allegation has been brought to the attention of the Dean(s) by the RIO, the Dean(s) shall determine whether:

1. The Allegation appears to be credible;
2. The Allegation may, if true, fall within the definition of Research Misconduct in the Research Integrity Policy §IV.30.; and
3. The Allegation is sufficiently specific to enable potential Evidence of Research Misconduct to be identified.

If the Allegation does meet these requirements, the Allegation should be brought forward to Inquiry. If the Allegation does not meet these requirements, the Allegation should not be moved to Inquiry.

E. Lack of Consensus for Proceeding to Inquiry

When multiple Deans are involved and a decision cannot be reached, the RIO shall cause the Provost, Vice Chancellor for Health Affairs, or both depending upon the unit in which the alleged Research Misconduct took place, to be informed of the Allegation(s) and lack of consensus by the Deans. Within 14 calendar days of being informed, the Provost, Vice Chancellor for Health Affairs, or both, shall then determine if the Allegation should proceed to Inquiry.

F. Notifications

The RIO shall inform the Complainant, UEO, and any other individuals informed of the Assessment of the determination of the Dean, Provost, and/or Vice Chancellor for Health Affairs, in a timely manner.

G. Assessment Appeal

The Complainant or any informed individual, other than a Respondent, may appeal the decision to (or not to) pursue an Inquiry to the RIO in writing within 14 calendar days of being informed of the decision. The appeal should outline how the Allegation meets or fails to meet the three requirements described in Procedures §V.D.1.-3., above, beyond what was originally submitted in the Allegation. In case of an appeal, the RIO shall cause the Provost, Vice Chancellor for Health Affairs, or both, depending upon the unit in which the alleged misconduct took place, to be informed of the Allegation(s), decision, and Appeal. Within 14 calendar days of being informed, the Provost, Vice Chancellor for Health Affairs, or both, shall then determine if the Allegation should proceed to Inquiry. The decision will be final. The RIO shall inform the Complainant, if not anonymous or requesting anonymity, UEO, and any other individuals informed of the Assessment, in a timely manner, of the Assessment Appeal decision.

VI. INQUIRY

A. Notice to the Respondent

The RIO, before beginning an Inquiry, must make a Good Faith effort to notify the Respondent(s) in writing of the Allegations that the Vice Chancellor for Research determined to be examined. Upon presenting the notification of Allegations, the RIO shall explain to the Respondent the advantages of full cooperation in providing information and materials relevant to the Proceeding.

The written Notice to the Respondent must also provide Notice of the following rights of the Respondent during the Inquiry:

1. To challenge Inquiry Team members;
2. To consult with any advisor of choice as set forth in Research Integrity Policy §VI.16.;

3. To submit a written response to the Allegation(s) within 14 calendar days of Notice of Allegations;
4. To have the written response to the Allegation(s) provided to the Inquiry Team;
5. To have the written response to the Allegation(s) accompany the Inquiry Report;
6. To be notified of the outcome of the Inquiry;
7. To receive a copy of the Inquiry Report;
8. To submit a written response to the Inquiry Report; and
9. To have the written response to the Inquiry Report accompany the Inquiry Report when forwarded to the Vice Chancellor for Research.

The written Notice to the Respondent shall also provide Notice of the following responsibilities of the Respondent during the Inquiry:

1. To cooperate with the conduct of the Proceedings;
2. To maintain confidentiality;
3. To produce research records on request, the refusal being Evidence of Research Misconduct under the Research Integrity Policy;
4. To not engage in Ex Parte communications;
5. To not retaliate against any Complainant, witness, or any other individuals involved in administering the Proceedings;

B. Inquiry Team

The Vice Chancellor for Research, in consultation with the RIO, shall appoint an Inquiry Team of at least two tenured faculty members who do not hold a primary appointment in the primary unit in which the Respondent holds an appointment. The Respondent will be notified of the Inquiry Team members and their affiliations in the notification of Allegations or subsequent notification.

C. Qualifications of Inquiry Team Members

Panel members shall have sufficient academic training and experience to understand and judge the Allegation(s) of Research Misconduct.

D. Challenge to an Inquiry Team Member

The Respondent(s) may challenge membership of any proposed member of the Inquiry Team on the sole ground that the person does not meet the criteria set forth in Procedures §VI.B. and Procedures §VI.C., above, or the Research Integrity Policy §VI.5. An objection to an Inquiry Team member must be made in writing by the Respondent and delivered to the Vice Chancellor for Research and RIO within 10 calendar days after receipt of the Notice of appointment. The challenge must clearly state which qualification(s) the Inquiry Team Member does not meet and the rationale for the objection(s). The Vice Chancellor for Research shall have the discretion to approve or deny such challenges, and the Vice Chancellor for Research's decisions thereon are final.

E. Charge to the Inquiry Team

The RIO, after consultation with the Vice Chancellor for Research, shall prepare a charge for the Inquiry Team that:

1. Sets forth the time for completion of the Inquiry;
2. States the need to maintain Confidentiality and the prohibition of Ex Parte Communications;
3. Identifies the Respondent(s) and their position(s);
4. Describes the Allegations and any related issues identified during the Allegation Assessment;
5. States that the purpose of the Inquiry is to conduct an initial review of the Evidence, which may include the testimony of the Respondent, Complainant, and key witnesses, and to determine whether an Investigation is warranted;
6. States that an Investigation is warranted if the Inquiry Team determines there is a reasonable basis for concluding that the Allegation:
    a. Falls within the definition of Research Misconduct, if true; and
    b. May have substance, based on the Inquiry Team's review during the Inquiry; and
7. Informs the Inquiry Team members that they are responsible for preparing, or directing the preparation of, a written report of the Inquiry that meets the requirements of the Research Integrity Policy and these Procedures.

F. Inquiry Proceedings

The Inquiry Team shall meet to receive their charge, either in person or virtually. The Inquiry Team shall conduct only those activities necessary to complete the charge as outlined under Procedures §VI.E, above.

G. Inquiry Report

The Inquiry Team, within 60 calendar days after the first meeting of the Inquiry Team, shall submit to the RIO a written Inquiry Report addressed to the Vice Chancellor for Research, that shall include the following information:

1. Name and position of the Respondent(s);
2. Description of the Allegation(s) of Research Misconduct;
3. Findings of fact and clear, detailed description of the Evidence upon which those findings are based;
4. Summary of the Inquiry process, including extension approved and the reason for the extension;
5. Recommendation and basis for recommending or failing to recommend that an Investigation is warranted;
6. List of the research records and other Evidence reviewed and available;
7. List of witnesses interviewed, if any;
8. Any other Inquiry Team recommendations for Sanctions, Corrective Actions, or other actions to be taken by the University;
9. Any recommendations with respect to the scope of the Investigation or Respondent(s) to be investigated it deems appropriate;
10. Listing of the sponsor(s) of the research in question, including, for example, grant numbers, grant applications, contracts;
11. Listing of publications related to the Allegations of Research Misconduct;

12. Statement that the Allegation was or was not in Good Faith with supporting information, in the event that an Investigation is not warranted; and
13. Names, titles, and affiliations of the Inquiry Team members.

The RIO shall assist the Inquiry Team to ensure that the Report conforms to the requirements of the Research Integrity Policy. The RIO shall cause a copy of the Inquiry Report to be delivered to the Respondent, UEO, the Dean, and other appropriate parties.

H. Comments by the Respondent

The Respondent, including any additionally identified Respondent(s) from the Inquiry, may submit written comments to RIO within 10 calendar days of receipt of the Inquiry Report. Upon 1) receipt of written comments of the Respondent, if any, 2) receipt of written notification from the Respondent that no written comments will be submitted, or 3) the expiration of the period for receipt of the written comments, the RIO will submit the Inquiry Report and written comments to the Vice Chancellor for Research, UEO, the Dean, and other appropriate parties.

I. Decision by the Vice Chancellor for Research

The Vice Chancellor for Research, within 10 calendar days of receiving the Inquiry Report and any comments, shall submit a written determination to the RIO addressed to the Respondent ordering an Investigation, closing the Proceeding, and/or taking other appropriate Corrective Action and Sanctions under the Research Integrity Policy or University statutes, policies, rules or regulations.

J. Notification to Appropriate Individuals

The RIO shall cause notification to the Respondent, Complainant, witnesses, the Dean, and the Respondent's UEO and, as appropriate and necessary, University administrators, including without limitation, the Chancellor, the Vice Chancellor for Academic Affairs, and the Vice Chancellor for Health Affairs. As required by law and as determined by the Chancellor and/or Vice Chancellor for Research, the RIO shall cause the notification of Respondent's collaborators, external sponsors, journals, publishers, and relevant governmental agencies. If the Vice Chancellor for Research orders an Investigation, the Respondent shall be informed and reminded of the obligation to cooperate with the Investigation.

VII. INVESTIGATION

A. Notice to the Respondent

The Respondent shall be notified of the Allegations that the Vice Chancellor for Research has determined to be investigated within 30 calendar days after the determination that an Investigation is warranted and before the Investigation begins. The contents of the Notice shall include all Allegations to be investigated, and a list of the Respondent's rights in the Investigation:

1. To be notified of Allegations being investigated;
2. To be notified of any new Allegations within a reasonable time after the determination to pursue those Allegations;

3. To be notified of the Investigation Panel members;
4. To be notified of the right to challenge Investigation Panel members;
5. To consult with any advisor of choice as set forth in Research Integrity Policy §VI.16.;
6. To be interviewed and appear before the Investigation Panel to present information and respond to the Allegations during the Investigation;
7. To consult and be accompanied by any advisor of choice as set forth in Research Integrity Policy §VI.16. in any interview;
8. To have the opportunity to correct transcripts of any interviews, if made;
9. To have recordings or transcripts, if made, included in the record of the Investigation;
10. To have any witness interviewed during the Investigation whom the Investigation Panel determines has been reasonably identified by the Respondent or the Investigation Panel as having information on relevant aspects of the Investigation;
11. To submit written statements to the Investigation Panel, through the RIO;
12. To receive a copy of the draft Investigation Report and, concurrently, a copy of, or supervised access to the Evidence on which the Draft Investigation Report is based;
13. To be notified that any comments to the Draft Investigation Report must be submitted within 30 calendar days of the date on which the Draft Investigation Report was received;
14. To be notified that comments will be included with the Final Investigation Report; and
15. To receive a copy of the Final Investigation Report that includes any comments.

The contents of the Notice shall include a list of the Respondent's responsibilities in the Investigation:

1. To cooperate with the conduct of the Proceedings;
2. To maintain confidentiality;
3. To produce research records on request, the refusal being Evidence of Research Misconduct under the Research Integrity Policy;
4. To be interviewed and appear before the Investigation Panel to present information and respond to the Allegations during the Investigation;
5. To not engage in Ex Parte Communications;
6. To not retaliate against any Complainant, witness, or any other individuals involved in administering the Proceedings;

B. Investigation Panel

The Vice Chancellor for Research, in consultation with the RIO, shall appoint an Investigation Panel and shall cause the Respondent to be notified of the Investigation Panel within 30 calendar days after the determination that an Investigation is warranted. The Investigation Panel shall typically consist of at least three persons. At least two members shall be tenured faculty members who do not hold a primary appointment in the primary unit in which the Respondent holds an appointment. A tenured Institutional Member who does not hold a primary appointment in the primary unit in which the Respondent holds an appointment shall chair the Investigation Panel. One Investigation Panel member shall not be an Institutional Member. The Respondent will be notified of the Investigation Panel members and their affiliations in the notification of initiation of the Investigation or subsequent notification.

C. Qualifications of the Investigation Panel

Panel members shall have sufficient academic training and experience to understand and adjudicate the Allegations of misconduct.

D. Challenge to the Investigation Panel Membership

The Respondent may challenge membership of any proposed member of the Investigation Panel on the sole grounds that the person does not meet the qualifications set forth in Procedures §VII.B. and Procedures §VII.C., immediately above, or has a conflict of interest as set forth in the Research Integrity Policy §VI.5. Any such challenge must be made in writing and delivered to the Vice Chancellor for Research within 10 calendar days after Notice of the identity of the Investigation Panel members. The challenge must clearly, and in sufficient detail, state which qualification(s) the Investigation Panel member does not meet or the nature of the conflict of interest and the rationale for the challenge(s). The Vice Chancellor for Research shall have the discretion to approve or deny such challenges, and the Vice Chancellor for Research's decisions thereon are final and non-appealable.

E. First Meeting and Charge to the Investigation Panel

The RIO shall convene the first meeting of the Investigation Panel 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 Panel shall be provided with a copy of the Research Integrity Policy and these Procedures. The RIO shall be present or available throughout the Investigation to advise the Investigation Panel as needed. The RIO shall describe the subject matter of the Investigation in a written charge to the Investigation Panel that:

1. Sets for the time for completion of the Investigation;
2. Describes the Allegations and related issues identified during the Inquiry;
3. Identifies the Respondent;
4. Informs the Investigation Panel that it must conduct the Investigation as prescribed in the Research Integrity Policy and these Procedures;
5. States the need to maintain Confidentiality and the prohibition of Ex Parte Communications;
6. Informs the Investigation Panel that it must evaluate the Evidence:
    a. To determine whether sufficient credible Evidence exists;
    b. To determine whether Research Misconduct occurred based on the standards set forth in Article IV of the Research Integrity Policy;
    c. To determine the type and extent of Research Misconduct; and
    d. To determine who was responsible for the Research Misconduct;
7. Informs the Investigation Panel that they must pursue leads;
8. Informs the Investigation Panel that it must recommend Corrective Actions and/or Sanctions, if appropriate;
9. Informs the Investigation Panel that it must prepare or direct the preparation of a written Investigation Report to the Vice Chancellor for Research that meets the requirements of the Research Integrity Policy and these Procedures; and

10. Informs the Investigation Panel that it must review comments by the Respondent and revise the Investigation Report as needed based on the Respondent's comments.

F. Subject Matter of the Investigation

The Vice Chancellor for Research, in consultation with the RIO, shall set the scope of the Investigation based upon the Allegation and the Inquiry Report (including Respondent's comments) in a written charge to the Investigation Panel. If during the Investigation, new information comes to light that affects the scope of the Investigation, the Vice Chancellor for Research shall determine whether the Investigation Panel should continue with its original charge, amend the scope of the Investigation, or commence a new Investigation. The Respondent, the UEO, and the Dean shall be informed if the scope of the Investigation changes substantially.

G. Investigation Proceedings

The Investigation Panel shall interview the Respondent and any witnesses who have been reasonably identified by the Respondent or Investigation Panel as having information on relevant aspects of the Investigation.

H. Recommendations for Sanctions and/or Corrective Actions

In deciding what Sanctions, Corrective Actions, or other actions are appropriate to recommend, the Investigation Panel should consider:[42 CFR 689.4(b)]

1. How serious the breach in Research Integrity or Research Misconduct was;
2. The degree to which the misconduct was Knowing, Intentional, or Reckless;
3. Whether it was an isolated event or part of a pattern of behavior;
4. Whether it had a significant impact on the research record, research subjects, other researchers, institutions or the public welfare; and
5. Other relevant circumstances.

I. Draft Investigation Report

Within 120 calendar days after the first meeting of the Investigation Panel, the Investigation Panel shall present its written Draft Investigation Report to the RIO. The Draft Investigation Report is not a part of the Institutional Record. The RIO shall assist the Investigation Panel to ensure that the Report conforms to the requirements of the Research Integrity Policy, these Procedures, and Federal Regulations, if applicable.

The Report shall:

1. Provide the name and position of the Respondent(s);
2. Describe the funding impacted by the Alleged Research Misconduct;
3. Describe the Allegations of Research Misconduct subject to the Investigation;
4. Summarize the timeline and background of the case;
5. Describe the investigative process;

6. Provide recommendations for a finding with respect to each Allegation as to whether Research Misconduct did or did not occur including:
    a. Identifying the type of Research Misconduct;
    b. Identifying the Research Misconduct was Intentional, Knowing, and/or in Reckless disregard;
    c. Summarizing the facts and analysis which support the conclusions and recommendations, including consideration of the merits of any reasonable explanation by the Respondent;
    d. Identifying the person(s) responsible for the Research Misconduct; and
    e. Identifying, as appropriate, the policies and regulations under which the finding was made; and
7. Recommend Sanctions, if any, that should be imposed upon the Respondent and Corrective Actions, if any, that should be taken;
8. Identify whether the Allegations of Research Misconduct were made in Good Faith if no findings of Research Misconduct;
9. Identify and summarize the research records and Evidence reviewed, and identify any Evidence taken into custody but not reviewed;
10. Provide the names and titles of the Investigation Panel members and experts who conducted the Investigation; and
11. Describe the current and pending funding of the Respondent.

J. Comments by the Respondent

The RIO shall, upon receipt of the Draft Investigation Report from the Investigation Panel, cause a copy of the Draft Investigation Report to be sent to the Respondent. The Respondent may submit written comments to the RIO, addressed to the Vice Chancellor for Research and/or Chancellor, within 30 calendar days of receipt of the Draft Investigation Report.

K. Final Investigation Report

The RIO shall cause the Respondent's comments to be shared with the Investigative Panel. After considering the Respondent's comments, the Investigation Panel shall within 30 calendar days of receipt of the Respondent's comments to the Draft Investigation Report submit the Final Investigation Report to the RIO.

The RIO shall cause the Final Investigation Report and the Respondent's comments, if any, to be submitted to the Vice Chancellor for Research. The RIO shall cause the Final Investigation Report to be sent to the Respondent, UEO, the Dean, and other appropriate parties.

VIII. FINAL ADJUDICATION AND DECISION BY THE CHANCELLOR

A. Vice Chancellor for Research Review and Recommendation

The Vice Chancellor for Research, after consultation with the RIO, Dean, and/or others as appropriate, shall within 30 calendar days of receipt of the Final Investigation Report submit the Final Investigation Report and recommendations for a final determination on each Allegation and any Sanctions, Corrective Actions, and other actions, as appropriate, to the

Chancellor. The Vice Chancellor for Research is not obligated to follow the recommendations of the Investigation Panel.

B. Chancellor's Determination

The Chancellor, after consultation with the Vice Chancellor for Research, Provost and Vice Chancellor for Academic Affairs, Vice Chancellor for Health Affairs, Dean, and/or others as the Chancellor may deem appropriate, shall make the final disposition of the Proceeding that includes findings as to:

1. whether Research Misconduct did or did not take place for each Allegation;
2. who was responsible for the Research Misconduct for each Allegation;
3. which form of Research Misconduct took place for each Allegation;
4. whether each Allegation of Research Misconduct that was found to have taken place was proven by a Preponderance of Evidence; and
5. regardless of whether or not Research Misconduct took place what, if any:
    a. Sanctions should be imposed;
    b. Corrective Actions should take place; and
    c. other actions should take place.

Any Sanctions, Corrective Actions, or other actions, that the Chancellor determines to be appropriate, will be to the extent permitted by the University of Illinois Statutes, the General Rules Concerning University Organization and Procedure, and other University of Illinois System and University rules, regulations or policies, and if applicable, the relevant terms of any collective bargaining agreements. The Chancellor is not obligated to follow the recommendations of the Investigation Panel or the Vice Chancellor for Research.

The Chancellor shall cause the final determination and any Sanctions, Corrective Actions, and other actions deemed appropriate to be communicated to the RIO within 30 calendar days of receipt of the Vice Chancellor for Research's recommendations. The RIO shall cause the final determination and any Sanctions, Corrective Actions, and other actions deemed appropriate by the Chancellor to be communicated to Respondent, the Dean, and the Respondent's UEO.

IX. NOTIFICATION TO APPROPRIATE INDIVIDUALS

The RIO shall cause the Vice Chancellor for Research, Complainant, Witnesses, and all persons who have been interviewed or otherwise informed of the Allegations, and, as appropriate and necessary, University of Illinois System administrators, University administrators, including the Vice Chancellor for Academic Affairs and/or the Vice Chancellor for Health Affairs, to be notified of the final determination of the Chancellor and any Sanctions, Corrective Actions, and other actions deemed appropriate. As required by law and/or as determined by the Chancellor or Vice Chancellor for Research, the RIO shall cause the Respondent's collaborators, external sponsors, and relevant governmental agencies to be similarly notified, but only after the time period for an Appeal has expired, or if a timely Appeal is filed by the Respondent after the submitted Appeal is finally resolved thereby concluding the Proceedings.

X. POLICY AND PROCEDURE VERSION

The Research Integrity Policy and Procedures in effect at the time the original Complaint is filed shall govern all Proceedings, unless the Vice Chancellor for Research and all Respondents mutually agree in writing to apply a more recent version of The Research Integrity Policy and/or Procedures.

Forms: N/A

Related Laws, Regulations, Statutes, and Policies (including but not limited to): UIC Student Disciplinary Policy; University of Illinois System Code of Conduct; State of Illinois Code of Personal Conduct; The University of Illinois Statues; The General Rules Concerning University Organization and Procedure

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