

Responding to Allegations of Research Misconduct

Responsible Officer:	VP – Research & Innovation
Responsible Office:	RI – Research & Innovation
Issuance Date:	XX/XX/XXXX
Effective Date:	XX/XX/XXXX
Last Review Date:	XX/XX/20XX
Scope:	This Policy applies to all research conducted under the auspices of any University of California (UC) Location by a person who, at the time of the alleged research misconduct, was affiliated with UC, including but not limited to faculty and other academic appointees, staff, students, postdoctoral scholars, and visiting scholars. This Policy applies to all research regardless of source of funding and/or sponsor. The Policy does not apply to activities undertaken in fulfillment of course requirements (unless there is an expectation of publication or dissemination of the results of such research outside of UC).

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I. POLICY SUMMARY

This Policy affirms UC's commitment to integrity in research. It implements the Federal Policy on Research Misconduct issued by the Office of Science and Technology Policy (OSTP) in December 2000 ("[Federal Policy](#)").¹ This Policy also intends to satisfy the research misconduct requirements of the U.S. Department of Health and Human Services (DHHS) ("[PHS Policies](#)"),² the National Science Foundation ("[NSF Policy](#)"),³ and other federal agencies.

II. DEFINITIONS

UC adopts definitions related to research misconduct provided in the [Federal Policy](#). For convenience, the definitions of some terms are repeated below. Where a sponsor adopts a definition that differs from the Federal Policy, UC will use the sponsor's definition for responding to allegations of research misconduct for research funded by that sponsor.

Location means University of California campuses, University of California managed hospitals and medical centers, Division of Agriculture and Natural Resources (ANR), Lawrence Berkeley National Laboratory, and the Office of the President.

Research Misconduct means fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results.

Research means a systematic experiment, study, evaluation, demonstration, or survey designed to develop or contribute to general knowledge (basic research) or specific knowledge (applied research).⁴

III. POLICY TEXT

UC is committed to maintaining the integrity of scholarship and research, responding to allegations of research misconduct, and to fostering a climate conducive to research integrity in accordance with the [UC Statement of Ethical Values](#). Such integrity includes not only the avoidance of wrongdoing, but also the rigor, carefulness, and accountability that are hallmarks of good scholarship.

All those engaged in research are expected to pursue the advancement of knowledge while meeting the highest standards of honesty, accuracy, and objectivity. Open publication and discussion, emphasis on quality of research, appropriate supervision, maintenance of accurate and detailed research procedures and results, and suitable assignment of credit and responsibility for research and publications are essential for fostering intellectual honesty and integrity in research. Those who supervise research have a responsibility to maintain an environment that encourages these high standards.

¹ [Federal Policy on Research Misconduct](#), 65 Fed. Reg. 76260 (Dec. 6, 2000).

² [Public Health Service Policies on Research Misconduct](#), 42 C.F.R. § 93.25-.511 (Sept. 17, 2024).

³ [National Science Foundation, Research Misconduct](#), 45 C.F.R. § 689.

⁴ The Federal Policy does not provide a definition for "research." This definition of research is based on the definition of "research" in the [PHS Policies, § 93.232](#).

IV. COMPLIANCE/RESPONSIBILITIES

All members of the UC research community are expected to cooperate in reporting suspected research misconduct and in responding to allegations by acting in good faith, providing research records and other relevant information to Research Integrity Officers and other UC officials in the course of their review of allegations of research misconduct, participating in research misconduct proceedings, and refraining from retaliation or interference with a research misconduct proceeding.

Responsibilities

Chancellors, Laboratory Directors, the Vice President of ANR, or their designees, are responsible for the implementation of this Policy, including the consideration of initial allegations of research misconduct and, when necessary, initiation of formal inquiries and, if warranted, investigations. Chancellors, Laboratory Directors, the Vice President of ANR, or their designees, are also responsible for designating the individuals to serve as the Deciding Official and Research Integrity Officer at their respective Locations.

Deciding Officials are the Location-designated officials responsible for making final determinations of research misconduct findings. The same individual cannot serve as both the Deciding Official and the Research Integrity Officer.

Research Integrity Officers (RIOs) are the Location-designated officials responsible for compliance and implementation, including establishing appropriate procedures and documentation.

Principal Investigators have primary responsibility for the scientific integrity and management of the research project.⁵ They must:

1. Be knowledgeable about and follow all applicable institutional and U.S. government policies, requirements, and regulations regarding research misconduct.
2. Comply with their Location's policies and procedures implementing this Policy and any extramural contract and grant terms and conditions supporting their research.

V. PROCEDURES

Each Location must implement policies and procedures for responding to allegations of research misconduct. Such policies and procedures must comply with federal policies (where applicable). Locations should consider describing the local mechanisms that will be used for the imposition of appropriate sanctions or discipline when the allegation of misconduct has been substantiated. The process of making a final determination of research misconduct findings by the Deciding Official is separate from the process for imposing sanctions or discipline.

When extramural funds are involved, local guidelines and procedures must comply with the conditions of the award, including applicable Federal regulations or policies.⁶ Such Federal regulations may require specific reports to the sponsoring agency. Locations may develop different policies and procedures to address situations in which allegations of research

⁵ [University of California, Contract and Grant Manual, § 10-330](#).

⁶ For PHS and NSF, these are the Public Health Service Policies on Research Misconduct (42 CFR, Part 93) and the National Science Foundation regulations on Research Misconduct (45 CFR, Part 689), respectively.

misconduct arise in the context of non-federally-funded research, including non-extramurally-funded research.

Locations should provide researchers access to education and training on integrity in research designed to foster an environment that promotes integrity in research, and that encourages researchers to identify and report potential instances of research misconduct.

VI. RELATED INFORMATION/RESOURCES

- [University of California Regents Policy 1111: Policy on Statement of Ethical Values and Standards of Ethical Conduct](#)
- Office of Science and Technology Policy, [Federal Policy on Research Misconduct](#) (Dec. 6, 2000)
- Some Federal agency policies on Research Misconduct
 - Health and Human Services Department, [Public Health Service Policies on Research Misconduct](#), 42 CFR, Part 93
 - National Science Foundation, [Research Misconduct](#), 45 CFR, Part 689
 - Dept. of Energy, [Allegations of Research Misconduct](#), 10 CFR, Part 733, and [Research misconduct](#), 2 CFR § 910.132
 - Dept. of Agriculture, [Research Institutions Conducting USDA-Funded Extramural Research; Research Misconduct](#), 2 CFR, Part 422
 - NASA, [Research Misconduct](#), 14 CFR, Part 1275
- [The Office of Research Integrity \(ORI\) website](#)
 - [ORI Sample Policy & Procedures](#)
- [Executive Order, Restoring Gold Standard Science \(May 23, 2025\)](#)
 - [OSTP, Agency Guidance for Implementing Gold Standard Science in the Conduct & Management of Scientific Activities \(Jun. 23, 2025\)](#)
- Other research-related University policies that may overlap with this Policy:
 - [Use of Animals in Research and Teaching](#)
 - [Protection of Human Subjects in Research](#)
 - [Research Data and Ownership Policy](#)
 - [Academic Personnel Manual](#), such as [The Faculty Code of Conduct \(APM-015\)](#)
 - [Personnel Policies for Staff Members](#), such as [PPSM-62: Corrective Action](#)

VII. FREQUENTLY ASKED QUESTIONS

Not applicable.

VIII. REVISION HISTORY

University of California Policy
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XXX XX, XXXX: Revised to conform with updated Public Health Service Policies effective Jan. 1, 2025 (issued Sept. 17, 2024); changed policy name.

June 19, 1990: Issued as a new policy.

DRAFT