



Dr. Nettie La Belle-Hamer
Interim Vice Chancellor for Research
907-474-6000
907-474-5993 fax
nettie.labellehamer@alaska.edu
research.uaf.edu

Office of the Vice Chancellor for Research

P.O. Box 757270, Fairbanks, Alaska 99775-7270

Research Integrity Committee Charter

Purpose

The University of Alaska Fairbanks (UAF) Office of Research Integrity (ORI) is comprised of the Vice Chancellor for Research (VCR) the designated Institutional Official (IO), an appointed Research Integrity Officer (RIO), an Export Control Officer (ECO), and a Research Integrity Administrator (RIA).

The Research Integrity Committee hereafter referred to as the Committee, is advisory to the VCR. The two primary purposes of the Committee are to 1) assess complaints/concerns about UAF research activities and 2) review potential allegations of research misconduct. The Chair of the Committee is the designated UAF Research Integrity Officer who manages the inquiry and investigation stages on behalf of the VCR, relevant federal agencies, and scientific organizations.

Fostering a high standard of ethical behavior for UAF is the primary role of this Committee by promoting a collaborative institutional culture that encourages the responsible conduct of research (RCR) through effective training and educational programs. With the support of the ORI, the Committee will promote compliance activities, programs, and policies to ensure effective prevention and detection of infractions of the law, regulations, student code of conduct, and ethical principles of conduct.

Membership

The five appointed voting members of the Committee will consist of Senior Researchers, defined for the Committee as full professors with experience in writing grant applications, leading research projects, and publishing research, which could include emeritus faculty. The Committee will be supported by the ORI, University staff and offices, and other persons as deemed appropriate.

Nominees to the Committee will be 1) evaluated by ORI and the Director OGCA, and 2) selected and appointed by the VCR. Nominators or Nominees will apply through an online form for member consideration. Term limits for Committee members will be three years with the option for extension based on VCR approval. The Chair will be nominated by the Committee and selected by the VCR. The Chair will serve as the University RIO, hold signature authority for UAF, and is authorized to appoint subcommittees to conduct functions of the Committee.

The Committee will consist of:

- Voting Members: Committee Support: Filled by the individuals holding the titled roles. “Other” support members will be identified, as needed, based on the concern, complaint, or alleged misconduct.
 - Executive Director, Office of Grants and Contracts Administration
 - UAF Attending Veterinarian and Director, Animal Resources Center
 - Director, Graduate School
 - Chief Student Conduct Officer, Center for Student Rights and Responsibilities
 - Export Control Officer
 - Research Integrity Administrator
 - Other support roles as needed

Responsibilities

The Committee members will be knowledgeable about the content and operation of the University’s compliance and ethics programs, [Student Code of Conduct](#), Board of Regents Policy ([Chapter 10.07 Research, Scholarship and Creative Activity](#)), and [Federal Research Misconduct Policy](#). The Committee will further exercise reasonable oversight of the implementation and effectiveness of responsible research at UAF, to include:

1. Compliance Roles and Responsibilities. Establishing clear compliance roles and responsibilities across UAF and exercising due care in delegating substantial authority, including reviewing and periodically updating the University Research Integrity Policy.
2. Standards of Conduct/Policies and Procedures. Assuring that UAF implements standards of conduct, policies, procedures, and internal control systems reasonably capable of reducing misconduct.
3. Culture of Integrity, regulatory, and ethical compliance. Promoting and evaluating the UAF’s culture of integrity and compliance, including:
 - a. Conducting periodic surveys designed to assess the culture of compliance.
 - b. Assuring that compliance standards, procedures, and expectations are effectively communicated through education and training programs, publications, and other appropriate means.

4. Compliance Oversight:

- a. Work with organizations such as, but not limited to, Faculty Senate, Graduate Academic & Advisory Committee, Research Advisory Committee, and Title IX Office as needed to ensure a cohesive culture of integrity and compliance across UAF.
- b. Periodically requesting and receiving information on the implementation and effectiveness of the compliance and ethics program from individuals with day-to-day operational responsibility.
- c. Requiring individuals with day-to-day operational responsibility to meet with the Committee on an as-needed basis.
- d. Ascertaining whether individuals responsible for the research compliance and ethics program have adequate resources, authority, and competencies to carry out their responsibilities and recommending to the University's senior leadership via the VCR appropriate steps needed to remedy any deficiencies in these areas.
- e. Assuring that reasonable steps have been taken to achieve compliance with laws, policies, and procedures throughout the University through the use of reasonably designed auditing and monitoring systems as well as periodic evaluation of the research compliance and ethics program's effectiveness.
- f. Regularly reviewing risk assessments and recommending that appropriate steps be taken to design, implement, or modify research compliance activities to reduce compliance risks identified by such assessments.

5. Reporting and Investigative Mechanisms. Assuring that the University maintains an effective mechanism for individuals and agents to report or seek guidance regarding potential or actual wrongdoing, including:

- a. Mechanisms to allow for anonymous reporting and appropriate safeguards to protect against potential retaliation.
- b. Mechanisms to ensure that the University investigates and takes appropriate follow-up action regarding potential incidents of non-compliance or conflicts of interest, including reporting to appropriate University offices and governmental agencies, where appropriate.

6. Correction and Prevention:

- a. Disciplining individuals, as appropriate, for violations and, if warranted, disciplining individuals for failing to report offenses.
- b. Work to prevent retaliation and promote restoration.

- c. Taking appropriate actions to prevent similar future offenses, including recommending any necessary modifications of the research compliance program to the Research Integrity Committee.
 - d. The Committee Chair will appoint designated Committee member(s), staff, and faculty to facilitate assessments, inquiries, and investigations as they arise. The Chair can delegate RIO authority to a Committee member(s) as and when needed to lead inquiries and investigations.
7. Reporting Lines. Reporting, or directing the reporting, on the implementation and effectiveness of the compliance program to the VCR and IO.
 8. Other Actions. Taking such other actions, or making such other recommendations as are necessary to promote ethical organizational research culture.

Tasks/Scope

- Evaluate RCR training and guidance
- Identify areas for improvement in research regulatory/ethical compliance
- Identify and recommend training programs and educational opportunities for University personnel on RCR and research compliance topics
- Participate in the delivery of RCR training modules as needed
- Conduct preliminary inquiries into allegations of research misconduct and conflicts of interest
- Provide recommendations to VCR regarding the current research environment as it relates to research integrity issues
- Advise UAF senior leadership through the VCR of allegations and findings when concerns or violations exist
- In addition, the appointed RIO works closely with the UA Office of General Counsel concerning issues of law, BOR policy, and serious issues of non-compliance and misconduct
- Ensure consistency of BOR policy, student conduct, academic, and research integrity policies and procedures

Agenda

Committee meeting agendas and topics are developed by the RIO with input from Committee Members, Committee Support members, ORI, and VCR/IO. The agenda and background documents will be provided to Committee members sufficiently in advance of the meeting. Issues included on the agenda for Committee deliberation should meet one or more of the following criteria:

1. Relevant to enhancing/promoting a culture of research integrity and implementation across UAF
2. Deliberation regarding research integrity concerns, complaints, and allegations filed
3. Identification of an issue(s) that the Committee should address and remediate

Meetings

The Committee meets quarterly. The RIO may cancel or add meetings as deemed necessary or as requested in writing by at least three Committee members. Committee members are expected to attend meetings.

The Committee will work toward consensus on agenda issues. In consultation with the VCR, the RIO may take action consistent with a majority of the Committee members where a consensus on how to proceed cannot be reached by the Committee. All Committee decisions will be documented in Committee minutes or emailed correspondence. Decisions internal to the Committee's operations shall be made by a majority of those present and voting.

Voting on Committee business, proposals, and recommendations shall be limited to designated Committee members. An anonymous ballot may be employed if deemed preferable by a majority of the Committee and individual votes shall not be a matter of record. Consistent with the allegation procedures developed by the Committee, confidentiality of submitters, subjects, witnesses, and experts involved in a Research integrity inquiry will be protected "to the extent possible, consistent with a fair and thorough evaluation and as allowed by law."

Support

ORI staff support the work of the Committee by researching and preparing documents, training, and outreach materials; planning meetings and preparing summaries of those meetings, and conducting other support functions as appropriate.

Committee members may draw on the expertise of scientists, engineers, and policy advisors within respective Program Offices or Units as deemed necessary and when approved by the Chair.

Sub-Committee(s)

The Committee can establish subcommittees to inquire, investigate, and suggest administrative action, in order to distribute the burden. Subcommittees will consist of no less than one Committee member (appointed by the RIO who will act as the RIO for the inquiry), and at least two additional subject matter experts. This subcommittee will operate temporarily until resolution of the goal(s) or completion of the task(s) established by the Committee.

Each workgroup will maintain a record of its deliberations, which will be made part of the Committee's meeting records.

Required Subcommittee actions may include, but are not limited to, the following:

- Preliminary inquiries, and report out
- Conducting investigations, and report out
- Recommend administrative action(s)
- Record retention