

Comparison of Present and Proposed CERS Policy Texts

PRESENT POLICY TEXT = α

I. Policy (ll. 4-37)

II. Summary of Procedures (ll. 41-65). Dropped in β as otiose because clearly outlined in IV. Procedure (ll. 205-523) in β .

III. General Guidelines (ll. 69-220). Corresponds to III. Rights and Responsibilities in β .

IV-VII. Stage 1-4 (ll. 222-573). Corresponds to IV. Procedure in B.

PROPOSED POLICY TEXT = β

I.A. Policy (ll. 5-15). Removes the definitional first paragraph in A to the relevant headings in II. Definitions (ll. 27-111) and essentially repeats the remaining three paragraphs, dropping, however the listing of procedural steps in α , ll. 22-26 as inappropriate here, and adding statements about time limits, conflict of interest, and protection of the rights of Respondent and Complainant.

I.B. Scope (ll. 16-26). Missing from α .

II. Definitions (ll. 27-111). Corresponds to the Appendix in α , ll. 587-676. Virtually every definition in β has been revised and a whole series of new definitions added (Q. Preponderance of evidence; R. Research; S. Research Compliance Officer; T. Research Integrity Officer; U. Research Record; W. Retaliation, X. Scholarship; and Y. VPR).

III. Rights and Responsibilities (ll. 112-204). Corresponds to III. General Guidelines in α . β goes into greater detail about the responsibilities of the Vice President for Research, including to the Office of Research Integrity, an office missing in α ; adds a section (III.D) on the Office of University Counsel; and drops headings from α that are treated elsewhere (Conflict of Interest, Confidentiality, and Membership of Committees, Procedural Issues, Regulatory Requirements, Evidentiary Standards, Maintenance of Documents). Note that apropos confidentiality, β states (ll. 190-91) that "after the final determination the Complainant is not constrained by confidentiality regarding his or her allegation or testimony or the final determination."

IV. Procedure (ll. 205-523). Corresponds to IV-VII. Stage 1-4 in α . β provides a more detailed listing of steps at each stage of the process,

seeks to have continual checks on conflicts of interest, and lays out a schedule of deadlines so that the inquiry stage is completed within 60 days and the investigation stage, ending with a determination, within 120 days unless circumstances necessitate longer periods.

V. Reporting to ORI (ll. 524-61). Missing from **α**.

VI. Other Notifications (ll. 562-75). Corresponds to VIII.E. Notifications (ll. 560-71) in **α**.

VIII. Annual Report to CERS

VII. Annual Report to CERS (ll. 5764-83). **β** adds the stipulations that prior years reports shall be provided to new CERS committees and that the new CERS chair will all the information available to the outgoing chair.

VIII. Other Considerations (ll. 584-632). **β** adds consideration of the possibility of a Respondent resigning because of alleged misconduct to avoid discovery of even greater misconduct (VIII.A.1-3).

VIII. B corresponds to VII.C in **α** on restoring the reputation of a cleared Respondent.

VIII.C on Protection of Whistleblowers and Others is new.

VIII.D corresponds to V.H of **α**.

VIII.F on Limitations Period is new.

IX (ll. 633-38). Record Retention. This is new.