Investigation Casebook

contributed by
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University of Illinois at Urbana-Champaign

The following materials have been adapted from materials used in investigations at the University of Illinois and other institutions.

All letters and forms may be adapted and used without permission.
**University of Illinois at Urbana-Champaign**  
**Investigation Casebook**

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1. Sample Academic Integrity Investigation TO DO List

**Investigation** (some items occur concurrently)
- Screen and appoint investigation panel members
  - Collect cvs from them
- Prepare investigation panel charge letter
  - Seek Legal Counsel approval for letter
- Mail charge letter to panel
  - Include policy, panel orientation document, and inquiry information, if available
- Get temporary help, if necessary
- Discuss any needed monetary support for investigation with appropriate officials
- Prepare letter to subject initiating investigation
  - Seek Legal Counsel approval for letter
- Discuss case with Legal Counsel and Public Affairs:
  - Journal notifications
  - Agency notifications
  - Taping interviews
- Secure relevant data if not already secured during inquiry
  - Inventory all materials
  - Record all activities
  - Provide subject with receipts and copies of secured materials
  - Secure safe storage location evidence
- Mail (or hand deliver, if securing evidence) letter to subject initiating investigation
  - Enclose copy of academic integrity policy and procedures
- Prepare and send investigation notifications
  - External funding agencies
  - “Appropriate governmental offices”
- Make a phone/address list of relevant parties
- Begin preparation of panel notebooks
  - Inquiry
  - Background Information
  - Funding
  - Publications
  - Data inventory
- Start log of items distributed to panel
- Get complete list of all research funding of subject
- Obtain relevant personnel records
- Secure taping equipment for interviews
— Prepare committee meeting agenda
  — Provide orientation to policy, process
  — Review materials
  — Review & approve investigation plan
  — Interview subject
  — Interview other parties
  — Devise plan for scientific work

— Set up initial investigation meeting (time, location, etc.)
  — Leave time for panel to organize itself before any witnesses appear
  — Arrange for subject and/or initiator to be present for interviews

— Work with panel to draft and implement investigation plan:
  — Prepare chart of all people involved indicating title, reporting line, relevant relationships
  — Interview all involved persons; write up notes; submit for signature
  — Interview all who analyzed samples; write up notes; submit for signature
  — Arrange for re-analysis of samples

— Prepare list of any materials or information needed from any of the interviewees
  — Notify them in advance if possible

— Keep department head apprised of status of investigation

— Develop list of which samples to analyze; arrange for analysis

— Prepare questions for each interview (fill-in-the-blank interview sheets)

— Schedule interviews

— Conduct interviews

— Prepare statement for each interview
  — Provide draft statement of interview to each interviewee for comment
  — Collect comments on drafts
  — Obtain signature of interviewee on final statement

— Coordinate arrangements for people to do scientific work

— Arrange further meetings

— Discuss patent problem with Technology Transfer Office; seek advice from Legal Counsel if necessary

— Develop investigation report
  — Distribute copies to all required persons
  — Solicit comments

— Chancellor determines disposition of case

— Prepare and send journal and agency notifications

— Close out investigation
  — Prepare thank you letters for investigation panel and witnesses
  — Collect all materials from involved parties for sealing file

— Seal file
University of Illinois at Urbana-Champaign
2. Investigation Panel Orientation

Investigation Overview

Thank you for your involvement in the academic integrity investigation process. By agreeing to participate in this process, you are performing a valuable service to the university and to the research community at large. The purpose of this document is to acquaint you with the university’s formal academic integrity review process and your role in it.

The investigation is the second part of a two-part process for resolving allegations of academic misconduct. Its purpose is to reach an official determination of whether the alleged misconduct occurred and, if so, to consider appropriate sanctions. The subject matter of your investigation has been defined in a written charge by the Vice Chancellor for Research. This investigation was recommended by an inquiry panel, composed of two faculty members, that reviewed the allegations and relevant information and concluded that there is sufficient credible evidence of academic misconduct to warrant a full-scale investigation. The decision to initiate an investigation, however, does not represent any belief that misconduct occurred. Rather, it reflects only a judgment that a thorough investigation to examine the facts and circumstances is warranted.

The University of Illinois Policy and Procedures on Academic Integrity in Research and Publication (the red pamphlet) govern the investigation process and summarize the obligations of all the parties involved. The Policy and Procedures define “academic misconduct” to include (among other things) fabrication and falsification of data, unacknowledged appropriation of the work of others, evasion of research regulations, and “other conduct which seriously deviates from accepted ethical standards in scholarship.” The complete definition begins on page 3 of the Policy and Procedures.

Your determination of whether or not academic misconduct occurred will require an objective assessment of the credibility of all available information from documents and interviews. You should feel free to request whatever documents and ask whatever questions—however difficult—that you believe are necessary to your determination. You should apply your professional judgment and common sense to evaluate the information, to weigh it, scrutinize it, question it, doubt it, or disbelieve it. Your task is a difficult one, made more so by the gravity of possible outcomes of your investigation. A careful, focused, and objective review is essential.

Under the Policy and Procedures, the investigation panel must submit a written report to the Vice Chancellor for Research within 120 days of its appointment, unless the Chancellor approves an extension of this deadline. The report must make an explicit finding of fact concerning each allegation included in your charge, and list the evidence relevant to each finding. If you find that academic misconduct did occur, you may recommend appropriate sanctions. The report will be transmitted to the person accused (the “Subject”) for review and comment so that he or she can respond to all the evidence on which your findings are based. The Subject has a number of other substantive and procedural rights, including the right to meet with you and be accompanied by an advisor of his or her choice, and the right to submit information for your review.

After you have submitted your final report, the Vice Chancellor for Research will transmit it with his or her recommendations to the Chancellor. If the Chancellor concludes, based on your report, that misconduct has not been proven, the case will end and the materials will be disposed of as noted below. If the Chancellor concludes that misconduct has been proven and that a sanction should be imposed, the Chancellor will determine the sanction and proceed in accordance with the University Statutes and relevant university rules and regulations.
The campus Research Standards Officer ("RSO") is responsible for ensuring that the procedural and notice requirements in the Policy and Procedures are satisfied. She will convene your first meeting as a panel and review with you the allegations, the report of the inquiry team, and the prescribed investigation procedures. She will be present throughout the investigation to advise you, to ensure procedural compliance, and to provide staff support. She will also assist you in preparing your report. Please do not hesitate to call on the RSO for the answers to any questions you may have concerning the inquiry process.

The investigation process is confidential. This confidentiality protects you, the person accused (the "Subject"), the complainant, and the witnesses. As a panel member, you should refrain from discussing this matter outside the process with anyone, including other faculty members, students, family members, and the media. All questions or requests for information should be referred to the RSO. If questions recur or individuals do not respect the confidentiality of the process, you should notify the RSO immediately.

At the conclusion of the investigation, all materials reviewed and all copies of them must be returned to the RSO. All original data and materials provided by the Subject will be returned to him or her. A record of those items and others relevant to the process will retained in a sealed file to be destroyed after three years. Materials not placed in the sealed file or returned to Subject are promptly destroyed. If the allegations have not been proven, all reference to this matter will be expunged from Subject's personnel file, and everyone involved will be informed of this outcome. The RSO will work with the Subject to help relieve any other repercussions of the process.

You were chosen for this panel because of your professional expertise and high ethical standards, your good judgment and common sense, and your lack of bias. You may feel uncomfortable being a part of this process. This is normal; few scholars relish the prospect of reviewing a colleague's practices for, and perhaps finding evidence of, serious deviations from ethical norms. If your discomfort stems from current or past significant involvement with the accused, the accuser or the work under review, however, your objectivity may be impaired. If for this or any reason you have questions about your ability to be objective, please discuss your concerns with the Research Standards Officer right away. In the same vein, you should avoid any outside discussion of this matter with any of the parties involved.

Thank you again for your service on the investigation panel. The Research Standards Officer and her staff will be available throughout the process to answer your questions. In the unlikely event that this process results in a lawsuit, the University Legal Counsel will represent you or secure representation for you. If you have any questions along the way, please do not hesitate to ask.
3. Begin Investigation — Agency Notification

CONFIDENTIAL

(Date)

(Address)

Dear (Name):

As Research Standards Officer at the University of Illinois at Urbana-Champaign, one of my duties is to serve as liaison with outside agencies on matters under review in the academic integrity process. I write to inform you that we are initiating a formal academic integrity investigation under the University of Illinois Policy and Procedures on Academic Integrity in Research and Publication into the allegation that (fill in). For your information, I have enclosed a copy of our policy.

(Description of situation)

In accordance with our Policy and Procedures, an inquiry was initiated after receipt of information that possible academic misconduct had occurred. Its purpose is to "determine whether there is sufficient credible evidence of academic misconduct to warrant a full-scale investigation." An inquiry is not a formal hearing; it is designed to separate allegations deserving further investigation from clearly unjustified allegations. The inquiry resulted in a determination that there is sufficient evidence of possible academic misconduct to warrant a formal academic integrity investigation into this matter.

If you have any questions, please feel free to contact me at the above address or at (phone number).

Sincerely,

Research Standards Officer

Enclosure

c: (Grants and Contracts Administration)
   (Campus Legal Counsel)
   (Chancellor)
4. Begin Investigation — Subject Notification

CONFIDENTIAL

(Date)

(Address)

Dear (Name):

The Inquiry Team appointed under the University of Illinois Policies and Procedures on Academic Integrity in Research and Publication has completed its review of the allegation that you (fill in). In its report to (Name), the Team recommended that a formal academic integrity investigation be conducted. A copy of their report is attached. The Vice Chancellor for Research, in consultation with the Dean, the Unit Executive Officer, the Inquiry Team and with me in my capacity as the Research Standards Officer, has determined that a full investigation should be initiated under the policy.

According to the policy, the Vice Chancellor for Research will be appointing the Investigation Panel “consisting of persons who have no conflicts of interest with the Subject or in the case in question, are unbiased persons of judicious temperament, and have academic backgrounds that qualify them to understand and judge the subject matter of the alleged academic misconduct.” It further states that the Panel “shall consist of three persons, each of whom shall be a faculty member or an academic professional; at least one shall be a faculty member. Whenever feasible, it will include one person from the unit in which the Subject holds primary appointment, one faculty member from elsewhere in the University, and one peer professional from outside the University.” Under the policy, you may “challenge any member of the Panel on the ground that the person does not meet the criteria stated above by delivering a prompt, reasonable, written objection to the Research Standards Officer for transmission to the Vice Chancellor for Research.”

The charge to the Investigation Panel will be to determine: (fill in)

As provided in the Policy and Procedures, you have the right to:

1. know the identity of the persons appointed to the Panel;
2. a written statement of the Panel’s charge (the subject matter of the Investigation);
3. written notice if additional information emerges during the investigation that substantially changes the subject matter of the investigation;
4. the opportunity to submit statements in writing and to meet with the Panel to present information and respond to the subject matter of the investigation;
5. the presence of legal counsel or another advisor of choice at the meeting with the Panel, for the purpose of providing you with advice; and
6. an opportunity to review and respond to the Panel’s final report.

I wish to remind you that it is your right and obligation to cooperate fully with the investigation Panel. Please bear in mind that, as always, you have a right to confer with the Faculty Advisory Committee, the Senate Committee on Academic Freedom and Tenure and private counsel. If you have any questions, or if I can be of assistance to you as this investigation proceeds, please feel free to contact me at the above address or at (phone number).

Sincerely,

Research Standards Officer

Enclosure

c: Vice Chancellor for Research
5. Begin Investigation — Collaborator Notification

CONFIDENTIAL

(date)

(Address)

Dear (Name):

As Research Standards Officer at the University of Illinois at Urbana-Champaign, one of my duties is to notify any involved parties when a matter that affects them is under review in the academic integrity process at the University. I write to inform you that we are initiating a formal academic integrity investigation under the University of Illinois Policy and Procedures on Academic Integrity in Research and Publication into allegations that (fill in). For your information, I have enclosed a copy of the policy.

The Policy and Procedures prescribes a two-step process for review of allegations of misconduct. First, there is an inquiry to "pursue an allegation of academic misconduct with sufficient review of the facts to determine whether or not an investigation of the allegation is warranted. An inquiry is not a formal hearing; it is designed to separate allegations deserving further investigation from clearly unjustified allegations." The second step, which is employed if the inquiry results in a determination that there is sufficient evidence of possible academic misconduct, is a more formal academic integrity investigation.

In accordance with these procedures, an inquiry was initiated after receipt of information at the University of Illinois that possible misconduct had occurred with (fill in). The inquiry resulted in a determination that there is sufficient evidence of possible academic misconduct to warrant a formal academic integrity investigation. The policy requires that, in the event an investigation is initiated, "any collaborators in the work shall be informed in writing that an investigation shall proceed." It goes on to require that "[a]ppropriate campus and University administrators, including the President and funding or judicial institutions or other involved parties should be notified that an investigation is under way." In addition to yourself, I have notified (fill in). We are reviewing the (fill in) to determine if any other contributors to it should also be notified as "collaborators".

The investigation committee will be focusing on the role of (fill in) and other University of Illinois faculty members in the preparation of the proposal in which the unattributed material appeared, as well as (fill in) role in other (fill in). In the course of their work, however, the committee will undoubtedly wish to interview you, as you appear as the (fill in). I shall be in contact with you shortly to ascertain your availability so I can proceed with scheduling for the committee.

Specifically, the charge to the investigation committee will be to determine: (fill in)

If you have any questions related to this matter, please feel free to contact me at the above address or at (fill in).

Sincerely,

Research Standards Officer

Enclosure

c: (Campus Legal Counsel UIUC)
   (Chancellor UIUC)
6. Begin Investigation — Complainant Notification

CONFIDENTIAL

(Date)

(Address)

Dear (Complainant):

The Inquiry Team reviewing the allegations made by you against (Subject) has completed its task and has submitted a report to (Dean). The Dean, in consultation with the Inquiry Team and myself as Research Standards Officer, has determined that a full investigation into the matter should be conducted.

An investigation committee has been appointed to explore these allegations. The task of this committee will be (subject and scope of the investigation).

I wish to remind you, that it is your obligation to cooperate fully with the investigation committee. If you have any questions, or I can be of any use to you in understanding the investigation process, please feel free to contact me at the above address or 333-5158.

Sincerely,

Research Standards Officer

c: (Subject)
7. Begin Investigation — Other Institution

CONFIDENTIAL

(Date)

(Address)

Dear (Name):

As Research Standards Officer at the University of Illinois at Urbana-Champaign, one of my duties is to serve as liaison with outside agencies on matters under review in the academic integrity process. I write to inform you that we are initiating a formal academic integrity investigation under the University of Illinois Policy and Procedures on Academic Integrity in Research and Publication into allegations that (fill in). For your information, I have enclosed a copy of our policy.

(fill in description of situation). Our investigation committee will be reviewing the role of (fill in), of our faculty, in the preparation of (fill in). That committee will undoubtedly wish to interview (fill in) as part of its process. If, in the course of our investigation, we discover anything pertaining to the (institution), we will keep you informed.

In accordance with our Policy and Procedures, an inquiry was initiated after receipt of information that possible academic misconduct had occurred. Its purpose is to “determine whether there is sufficient credible evidence of academic misconduct to warrant a full-scale investigation.” An inquiry is not a formal hearing; it is designed to separate allegations deserving further investigation from clearly unjustified allegations. The inquiry resulted in a determination that there is sufficient evidence of possible academic misconduct to warrant a formal academic integrity investigation.

If you have any questions related to this matter, please feel free to contact me at the above address or at (phone number).

Sincerely,

Research Standards Officer

Enclosure

c: (Director of Grants and Contracts Administration)
   (Campus Legal Counsel)
   (Chancellor)
8. Begin Investigation — Others

CONFIDENTIAL

(Date)

(address)

Dear (Name):

As Research Standards Officer at the University of Illinois, I write to inform you that allegations have been made against (Subject) concerning (allegations). An inquiry team was established and a review of the charges was undertaken. Based on that review, we have determined that there is sufficient evidence to warrant further investigation into this matter.

Your involvement with (Subject) as (way in which involved) has been brought to my attention and, therefore, in compliance with the University of Illinois Policy and Procedures on Academic Integrity in Research and Publication, I am notifying you that an investigation is under way.

If you have any questions, please feel free to contact me at the above address or at 333-5158.

Sincerely,

Research Standards Officer
9. Begin Investigation — Witness

CONFIDENTIAL

(Date)

(Address)

Dear (Name):

The Inquiry team acting under the University of Illinois Policy and Procedures on Academic Integrity in Research and Publication has completed its task and has submitted a report to the Vice Chancellor for Research. The Vice Chancellor for Research, in consultation with the Dean, the Unit Executive Officer, the Inquiry Team and with me as Research Standards Officer, has determined that a full investigation into the matter should be conducted.

I know how disruptive this process has been and how difficult for all concerned. The Inquiry Team appreciated your willingness to speak with them. As I mentioned before, it may be necessary for the Investigation Panel to meet with you in the course of its work; under our policy, it is your obligation to cooperate as fully as possible with that process. I regret any additional burden this two-stage process may impose upon you.

If you have any questions, or I can be of any use to you in the course of this investigation, please feel free to contact me at the above address or at (phone number).

Sincerely,

Research Standards Officer
10. Sample Panel Charge Letter

(date)

(Names & Addresses)

Dear Professors (Names):

Thank you for agreeing to serve as members of an investigation panel convened under the provisions of the University of Illinois Policy and Procedures on Academic Integrity in Research and Publication.

Last year questions were raised concerning (nature of allegations and name of subject). (sentence about the inquiry.) After its review, the inquiry team recommended that a full investigation be conducted. After consulting with (Dean), (subject), the inquiry team, and various others as required by our policy, I concurred in the inquiry team’s recommendation. The investigation in which you have agreed to participate is the result. Attached for your reference is a copy of the inquiry team’s report.

Your charge is to determine:

1) whether (subject) plagiarized or incorporated, without appropriate permission or attribution, material from an article by (name) in (publication);

2) if so, how this came to be, and whether it constitutes academic misconduct on the part of (subject) or others, as defined in the Policy and Procedures;

3) whether there is evidence of other incidents of plagiarism or nonattribution in publications that (subject) prepared or contributed to in (defined time period);

4) if you find such evidence, whether its constitutes academic misconduct, as defined in the Policy and Procedures.

In your review, please consider the publications noted in the inquiry team’s report as well as (subject’s) other publications and research activities from (date) on.

At the conclusion of your work, I would like to receive a report containing your findings and conclusions, as well as your recommendations for sanctions or corrective actions, if any, that you deem appropriate under the circumstances. The Policy and Procedures contain more specific information about elements that should be contained in your report. In addition, (federal agency) regulations govern this investigation, and the requirements of those regulations should also be met. For your information, a copy of those regulations and some interpretative materials are included. Finally, please identify and consider any corrective actions which have already been taken in making your recommendations. The Research Standards Officer will assist you in the investigation and compliance with the Policy and Procedures.

As you are undertaking this work for the University of Illinois, your activities on our behalf will be covered by the University’s self-insurance plan. Should the need arise, this will include legal representation of any claims arising from this work.

Your report should be submitted to me no later than (date), though I would appreciate it if you would proceed as expeditiously as possible. On behalf of the University of Illinois at Urbana-Champaign, I thank you again for the service you are rendering.

Sincerely,

Vice Chancellor

Enclosures

c: Department Head, Research Standards Officer, Dean
11. Materials Inventory and Receipt

Materials Received From: 

Date Received: 

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Signatures: 

______________________________

______________________________
12. Confidentiality Statement

Confidentiality Statement

As an employee of the University of Illinois Office of the Vice Chancellor for Research, I understand I have access to confidential information concerning conflicts of interest, allegations of academic misconduct, and other matters handled by the office. I have been informed and acknowledge that information handled by the office is to be kept in strict confidence and used only for university job-related purposes. I further understand that as a condition of my employment, I have a duty to maintain the confidentiality of such information, and that violation of this work rule may result in disciplinary action including dismissal.

______________________________
Employee Signature

______________________________
Date
13. Subject — Change in Scope of Investigation

CONFIDENTIAL

(Date)

(Address)

Dear [Subject]:

As Research Standards Officer, I write to inform you that additional information has emerged during the investigation of the allegations against you. This includes new information. I invite you to respond to this new information.

Due to this change, the scope of the investigation has evolved along different lines than originally expected. These changes will involve [scope changes].

If you have any questions, please let me know.

Sincerely,

Research Standards Officer
14. Taping Introduction

Comments to be read at the beginning of taping each interview:

This is a meeting of an investigation panel charged on date under the University of Illinois Policy and Procedures on Academic Integrity in Research and Publication. Today is date, and it is time. I am name, title. Present in this meeting are the three members of the investigation panel, Professor name, Professor name, and Professor name. Also present are names.

Whenever questions about academic conduct arise, our policy provides for a two-stage process for resolving them. The first stage, the inquiry, is conducted for the purpose of determining whether there is sufficient credible evidence of misconduct to warrant an investigation. The purpose of an investigation is to make an official determination as to whether or not the alleged misconduct actually occurred and, if so, to consider appropriate sanctions. The investigation is being conducted in conformity with the University's Policy and Procedures on Academic Integrity in Research and Publication. I am giving you a copy of the Policy and Procedures for your review. [Give policy.] During the course of this process, the panel will collect and review documents and meet with various people with knowledge of the events and projects that are under review. When it is complete, the panel will prepare a report of its findings, conclusions, and recommendations. [For Respondent: you will be given the opportunity to comment on the report before it is finalized.]

All panel meetings with Respondent and witnesses are being tape recorded to ensure that an accurate record of the proceedings is retained and to assist in preparing written statements for your signature. We do not intend to transcribe these tapes. We will prepare written statements from your comments in these meetings and submit them to you for your review and signature. The written statements will be a part of the record of this investigation, [and will be available to the Respondent, name, at the conclusion of the investigation.] Statements may [also] be released to federal funding agencies and to other federal oversight bodies involved in the subject matter of the investigation, as required by federal law and university policy.

To ensure the neutrality of this process, we request that you not discuss this matter with any member of the panel outside of these proceedings. If you have questions or additional comments after this meeting, please feel free to direct them to me. I will pass them along to the panel. If you wish to communicate in writing with the panel, you may submit your written communication(s) to me and I will forward them to the panel.

We also ask that you respect the confidentiality of this process and the reputations of all parties concerned by not discussing this matter with members of the university or academic community, the public, or the press.

Do you have any questions?
15. Transcription Certification

This is to certify that I, (Name), transcribed the tape of the interview with (Name) taken on (Date), under the University of Illinois Policies and Procedures on Academic Integrity in Research and Publication, and that the foregoing transcript, to the best of my knowledge, reflects a true and accurate record of the interview.

__________________________
Date

Subscribed and Sworn before me this _____ day of ____________, 199__.

__________________________
Notary Public
16. Plagiarism Document Comparison Template

Comparison Number:_______

**Document 1**

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Canonical name:________________________

Author(s):______________________________

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Authors in common with Document 1: yes____ no____

Any acknowledgment: yes____ no____

Form of acknowledgment:______________________________________

Notes:
17. Sample Advance Witness Interview Questions

Advance Questions for Dr. Post-Doc
To assist you in preparing for your interview with the investigation panel scheduled for (time) and (date) at (location), the panel is providing you with the following questions it hopes to discuss with you. This is not an exhaustive list; the panel has access to your original data books and will be reviewing them with you. They will also be asking other questions that arise in the discussion.

Information the panel would find helpful:
1. A chronology of the project.
2. How did you ensure that the lab would be able to reproduce and build upon your results?
3. What did you do to teach your techniques to others?
4. Did you ever go through every procedure with Dr. Investigator in a step-by-step manner?
5. Do you know where the (samples) are?
6. If asked to, could you identify the samples in (location) as those used in the work reported in (journal)?
7. Please comment on the correlation between the original sample identification numbers and those they currently bear.
8. Are you aware that some of the (samples) apparently suffered overapplication of (substance) and most of them subsequently died? Did you know about this? Do you understand how it came to happen?
9. Please provide information on (technical question).
10. Please review the attached diagram. The panel would like to discuss it with you.

Notes for Panel: Agreed-Upon Questions for Every Interview (not transmitted with above questions)

Opening Information:
• Who we are; what we’re doing; how long it will take; what they will or won’t see happen; etc.

Opening Questions for All:
• What do you do in your unit? What are your responsibilities? What was your relationship to Subject? What is your relationship to events under examination?

Closing Questions for All
• Are there things we should have asked you, but didn’t? Are there any questions you want to ask us? Is there anything you’d like to say that we didn’t ask about?
18. Sample Panel Notebook Table of Contents

Date

Panel address list (date) teal

A. Panel Materials
Charge Letter teal
Investigation Overview (date) white
Policy and Procedures Governing the Investigation (red booklet)
Agency Regulation white
Articles Discussing Agency Regulations and Interpretations white
Sample Investigation Report white
List of Professor Subject's Publications (date) lavender
List of theses of students advised by Professor Subject (date) white
Inventory of Materials Available to Panel (date) white
Staff memo to file re: Name of Journal Publication Policy (date) yellow
Panel Discussion blackboard notes - typed (date) yellow

B. Inquiry Materials
Inquiry Report (date) white
Professor Subject's response to Inquiry Report (date) white

C. Submissions by Professor Subject
Professor Subject's Submission #1 (date) blue
Professor Subject's Submission #2 (Corporate letter from Company Official to Professor Subject) (date) blue
Professor Subject Submission #n (date) blue

D. Submissions by Others
Graduate Student Submission # (date) salmon
Professor Subject to Name letter re: revisions (date)
(name) to Professor Subject acknowledging original receipt of article (date)lavender
(names) re: student letter enclosure (date) pink
Professor Subject to (name) letter re: Graduate Student
(names) re: Professor Subject promotion dossier (date) white

E. Funding
Professor Subject articles-acknowledgment of research support green
Appointment history of Professor Subject's thesis students green
Appointment history of Professor Subject's thesis students funded by NSF green
Proposals submitted by Professor Subject green

G. Publications
(list) lavender

H. Analytical Material
(list) yellow

I. Statements
(list) gold
19. Sample Table of Contents: Report of Investigation Panel (1)

Date

Executive Summary ........................................................................................................... i

I. Introduction .................................................................................................................. 1

II. Background ................................................................................................................ 1
   A. Professor Smith and Her Projects ........................................................................... 2
   B. Events Leading to Investigation ............................................................................. 3

III. Findings and Conclusions ....................................................................................... 5
   A. Panel Findings & Conclusions—Accuracy of Data &/or Interpretations ................. 6
      1) Discrepancies in the Data from the Project A ..................................................... 6
      2) Problems with Interpretation of Project A Data ................................................. 8
      3) Discrepancies in Presentation of Data in Project C Report ............................... 9
      4) Failure to Preserve Data .................................................................................. 9
   B. Panel Findings & Conclusions—Status of Products Reported in Project B Reports .. 12
      1) Project B Products—Videotapes and Manuals ............................................... 12
      2) Project B Products—Advisory Group ............................................................... 15
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   C. Panel Findings & Conclusions—Improper or Selective Suppression of Case Study Data .. 16
   D. Panel Findings & Conclusions—Responses to Questions about Data &/or Interpretations .. 17
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IV. Summary .................................................................................................................. 25

Appendices

Appendix A  University of Illinois Policy and Procedures on Academic Integrity in Research and Publication
Appendix B  Letters and Correspondence Exchanged Among the Parties
Appendix C  Statements and Transcripts of Panel Interviews
Appendix D  Documents Related to Projects at Unit
Appendix E  Comments Received on Review Draft
Appendix F  Description of Procedural Compliance
Appendix G  Index of Items Reviewed by Panel

Tab
Policy
Correspondence
Interviews
Project Documents
Comments
Procedural Compliance
Items Reviewed
Sample Table of Contents: Report of Investigation Panel (2)

I. Introduction ................................................................................. 1

II. Summary of Findings and Conclusions ..................................... 3

III. Background .............................................................................. 5
    A. General Description of the Work Under Review .................. 5
    B. Specific Description of the Work Under Review ............... 6
    C. History of the Experimental Plants .................................... 7
    D. Issues Encompassed by the Investigation .......................... 9

IV. Panel Process ........................................................................... 10
    A. Panel Meetings .................................................................. 10
    B. Evidence Reviewed .......................................................... 10
    C. Interviews ......................................................................... 10
    D. Procedural Compliance .................................................... 11

V. Findings and Conclusions ......................................................... 12
    A. Conclusion: (list) ............................................................ 12
       1. (Technical Area Discussion) ......................................... 12
          a. Data ....................................................................... 12
          b. Samples ................................................................... 14
       2. (Technical Area Discussion) ......................................... 15
       3. (Technical Area Discussion) ......................................... 17
    B. Conclusion: (List) ......................................................... 19
    C. Conclusion: (List) ......................................................... 19
    D. Conclusion: (List) ......................................................... 21
    E. Conclusion: (List) ......................................................... 22

VI. Recommendations .................................................................... 24
20. Sample Investigation Costs

Time and Resources

<table>
<thead>
<tr>
<th>Internal Personnel Costs</th>
<th>Hours</th>
<th>Cost</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staff Support</td>
<td>493.0</td>
<td>$8,971.00</td>
<td></td>
</tr>
<tr>
<td>Clerical Support</td>
<td>211.5</td>
<td>1,526.78</td>
<td></td>
</tr>
<tr>
<td>Committee members (faculty)</td>
<td>40.0</td>
<td>2,000.00</td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL Personnel COSTS</strong></td>
<td></td>
<td></td>
<td>$12,497.78</td>
</tr>
</tbody>
</table>

Direct Support Costs

- Honoraria (external committee members)  | $1,000.00 |
- Travel                                  | 2,000.00  |
- Paper                                   | 48.00     |
- Binders                                 | 60.00     |
- Tabs                                    | 37.00     |
- Lunches                                 | 87.50     |
- Misc. (Pens, Pads, etc.)                | 60.00     |
- Express Mail                            | 100.00    |
- Phone Calls                             | - 35.00   |

**TOTAL Direct Support COSTS.**  

$3,427.50

**GRAND TOTAL**  

$15,925.28

**Note:** These costs do not include any costs for time expended by panel members or institutional officials in their consideration of this case.
21. End Investigation — Transmit Report to Agency

(date)

(address)

Dear (name):

On behalf of the University of Illinois at Urbana-Champaign, I submit the enclosed report of an academic integrity investigation recently concluded on our campus, and the evidence upon which this report is based. Consistent with 45 CFR 689.3, I am informing you of the actions I have taken in response to this report. For your information, I have also attached a chronology of events related to this matter, and a listing of the identities and roles of those who have been involved in our procedures.

Under the University of Illinois Policy and Procedures on Academic Integrity (also enclosed), the investigation panel appointed by the Vice Chancellor for Research makes findings and recommendations to me. Please note that, consistent with the Policy and Procedures, all University of Illinois investigation panels include a member from outside our University.

I have reviewed the enclosed report and accepted the panel’s findings and conclusions.

The investigation panel found (findings) and concluded (conclusion). I accept this conclusion, and find by a standard of a preponderance of the evidence that (findings). The panel concluded that this conduct constitutes academic misconduct under the University’s Policy and Procedures. I accept this conclusion. The panel also concluded that this conduct is misconduct in science and engineering under the definition contained in 45 CFR 689. I also accept this conclusion.

(Description of institutional actions taken).

I trust this submission satisfies NSF requirements.

Sincerely,

Chancellor

Enclosures

c:  Dean
    Department Head
    Subject
    Research Standards Officer
    Vice Chancellor for Research
22. End Investigation — Witness—No Determination Yet

CONFIDENTIAL

(Date)

(Address)

Dear (Name),

Some time ago, you were interviewed by a University committee acting under the University of Illinois Policy and Procedures on Academic Integrity in Research and Publication. I write to inform you that the investigation process is now over and to thank you for your cooperation with it. These are difficult and stressful situations for all concerned, and I am informed that each of those interviewed was helpful to the committee’s work.

The committee has submitted its report and made several recommendations to me on how to proceed. I have not yet reached a decision, but wanted to take this opportunity to thank you for your willingness to meet with the committee and express my appreciation for your contributions to this process.

Sincerely,

Chancellor

c: (Research Standards Officer)
(Department Head)
23. End Investigation — Subject/No Sanction

CONFIDENTIAL

(Date)

(Address)

Dear (Name):

As is required by the University of Illinois Policy and Procedures on Academic Integrity in Research and Publication, I write to inform you of the outcome of the investigation into the allegations of academic misconduct of which you were notified on (Date).

At the conclusion of its review of the facts, the Investigation Panel has submitted a report of its findings to the Vice Chancellor for Research. The Vice-Chancellor for Research then transmitted to me the Investigation Panel’s report as well as your comments. In consultation with the Dean, the Vice Chancellor for Research, and the Vice Chancellor for Academic Affairs, I have determined that no sanctions or corrective actions are warranted for any of the charges made against you.

On behalf of the Investigation Panel, I want to thank you for your cooperation and assistance in this difficult matter. If you have any questions or concerns about this outcome or any aspect of the investigation, please feel free to contact me or the Research Standards Officer at (phone number).

Sincerely,

Chancellor

c: (Research Standards Officer)
24. End Investigation — Subject-Sanction; Plagiarism

CONFIDENTIAL

(Date)

(Address)

Dear (Name):

In accordance with the University of Illinois Policy and Procedures on Academic Integrity in Research and Publication, I have now made my determination with respect to corrective actions or sanctions to be applied to the finding of plagiarism by the Academic Integrity Investigation Panel. I have decided to accept the recommendation of the Committee, and will be recommending that the President initiate proceedings for dismissal under the University of Illinois Statutes. For your information, I have enclosed a copy of the relevant portions of the Statutes.

Under the Policy and Procedures, you have the right to appeal to the President within 14 days of the date of this letter, if you believe the procedures contained in the policy were not correctly followed. Should you elect to file an appeal, the policy states that it "must be filed in writing and must specify the nature of the procedural error." The President has 30 days in which to issue a decision on your appeal. I have enclosed a copy of the Policy and Procedures for your information.

The Policy and Procedures also provide that I may determine which parties to notify regarding the outcome of the case. I will be notifying (Names of Other Institutions and/or Agency).

In addition to its recommendation on sanctions, the Committee recommended that (fill in). I have also accepted this recommendation, and we will be doing so in the near future. In addition, I will be accepting the Committee’s recommendation that (fill in names of author from whom the work was taken) be informed of the plagiarism of their work and I will express my regret on behalf of the University that this has taken place.

Sincerely,

Chancellor

c: (Vice Chancellor for Academic Affairs)
    (Vice Chancellor for Research)
    (Dean)
    (Research Standards Officer)
    (Campus Legal Counsel)
25 End Investigation — Complainant/No Sanction

CONFIDENTIAL

(Date)

(Address)

Dear (Complainant):

As requested by (Chancellor), I write now to inform you that the allegations you made against (Subject) have been reviewed by an Investigation Panel. At the conclusion of its work, the Panel submitted a report of its findings to the Vice Chancellor for Research.

The Vice Chancellor of Research reviewed the materials and transmitted the report to (Chancellor). (Chancellor Name) in consultation with the Dean, the Vice Chancellor for Research, and the Vice Chancellor for Academic Affairs have determined that no sanctions or corrective action are necessary for any of the charges you made against (Subject).

Thank you for your cooperation in the investigation of this matter.

Sincerely,

Research Standards Officer

c: (Chancellor)
bc: (Subject)
26. End Investigation —No Sanction, Seal Files

CONFIDENTIAL

(Date)

Research Standards Officer

Dear (Name):

I write to inform you that the investigation into the allegations made by (Complainant) against (Respondent) has been completed and a report from the Investigation Committee has been submitted. In consultation with Dean (Name) and the Vice Chancellor for Research, I have determined that no sanctions or corrective actions are necessary. I have informed all parties involved in this case of the outcome.

As is stated in the University of Illinois Interim Policies and Procedures on Academic Integrity section V. E.: "If the Chancellor determines that no violations of academic integrity have occurred and, hence, that no sanction or corrective action is warranted, ... All written records shall be sealed and deposited in the Office of the Vice Chancellor for Research", I have requested that all documents (and any copies of them that might have been made) generated in the course of this investigation be forwarded to you. Please see that this file is sealed.

I want to thank you for all your time and efforts involved in this process.

Sincerely,

Chancellor
27. End Investigation—Others/No Sanction

CONFIDENTIAL

(Date)

(address)

Dear (Name):

As Research Standards Officer of the University of Illinois, I write to inform you that the allegations made against (Subject) concerning (allegations) have been found to be unwarranted. Your involvement with (Subject) as (way in which involved) has been brought to my attention and in compliance with our Policy and Procedures on Academic Integrity in Research and Publication, I am notifying you that we have determined that no sanctions or corrective actions are warranted in this case.

If you have any questions, please feel free to contact me at (phone number).

Sincerely,

Research Standards Officer

c: (Chancellor)
28. End Investigation — Others and/or Agency/Sanction

CONFIDENTIAL

(Date)

(Address)

Dear (Name),

I write to inform you that we have recently concluded our investigation into (fill in). In addition to this aspect of its work, the Investigation Panel was charged with (fill in).

The findings of our Investigation Panel were that:

(fill in)

[For your information, I have included a copy of the Panel’s report. where appropriate and/or legal]

The Panel recommended that (fill in) against (Name) under the University of Illinois Statutes, and I am in the process of determining if I should do so or take some other action.

I regret that this occurred, and I thank you for the assistance and support of the (Agency name) through this difficult process.

Sincerely,

Research Standards Officer

Enclosures

c: (Subject)
   (Vice Chancellor for Academic Affairs)
   (Chancellor)
   (Vice Chancellor for Research)
   (Dean)
   (Campus Legal Counsel)
29. End Investigation — Retrieve files
(TO BE USED AS A MAIL MERGE)

CONFIDENTIAL

(Date)

«Data Names»

«Name»

Dear «Salutation» «Name»:

I write to inform you that the Chancellor has accepted the recommendations of the investigation panel that no sanctions or corrective action are warranted in response to the allegations made by (Complainant) against (Respondent). As our policy requires, we will now proceed to seal the file.

The University of Illinois Policy and Procedures on Academic Integrity in Research and Publication section IV. K. reads in part: “After termination of a case and all ensuing related actions, the Research Standards Officer shall prepare a complete file, including the original records of all proceedings conducted by the Inquiry Team and the Investigation Panel, and copies of all documents and other materials furnished to the RSO or to those Bodies. The RSO shall seal the file and retain it for three years.” I ask that you send all documents (and any copies of them that might have been made) generated in the course of this investigation to me. I have enclosed a certification of return that I would also appreciate your signing and returning. If it would be more convenient for you, a member of my staff will come and pick the materials from your office if you will let us know when would be the best time for you.

If you have any questions about what documents fall into this category, please contact me at (phone number).

Sincerely,

Research Standards Officer

Enclosure

c:  (Chancellor)
    (Respondent)
30. Return of Materials Certification

I certify that I have returned to Research Standards Officer (Name) all documents I received (and all copies made from those documents) related to the academic integrity investigation conducted by the University of Illinois into research conducted by (Name). I further certify that any documents that I have ever had in my possession related to this matter that I did not return have been destroyed.

Name

Date
CONFIDENTIAL

(Date)

(Address)

Dear (Name):

I have received the report of the academic integrity Investigation Panel on which you recently served. (Chancellor) and I are reviewing it. We have forwarded a copy of the Panel's report to the respondent to give (him/her) an opportunity to comment upon it. Final decisions with respect to the recommendations made in your report will be made after that, and I will be sure that you are kept informed.

Please accept my sincere thanks for serving on this committee. Although the assignment was not a happy one, it was essential that it be done and, I believe, that it be done by faculty with high professional standards and outstanding credentials.

Again, thank you for this work on behalf of the campus. I will look forward to talking with you soon.

Sincerely,

Vice Chancellor for Research

C: (Dean of Person on committee)
(Research Standards Officer)
(Chancellor)