Guidance Name: Standards for Peer Review and Mentor / Trainee Relationships

Purpose for creation of document: During the revision of the research misconduct policy and procedures, it was determined based on a review of the federal ORI model policy and procedures (which only covers falsification, fabrication and plagiarism) that the professional standards originally included in the document should be separated from the revised policy. The guidance documents are revisions from the existing language in the Ethical Conduct and Reporting of Research policy. The final approved versions of these guidance documents will be included in the Research Handbook.

Consequences, if any of not following the guidance: These documents are meant as guidance and do not have sanctions implications directly. Professional judgment is expected to guide behavior in the topic areas covered.

Original author / office: Research Standards and Training Task Force

Original document (is this draft replacing another document): Revisions of sections in the Ethical Conduct and Reporting of Research policy

When will it undergo review again: The Research Integrity Committee will review it at its next meeting

To whom does the guidance apply: The guidance applies to all faculty, staff and students designing, conducting, managing or reporting research under the auspices of the University of Louisville.

Is there an appeal process: No formal appeals process is attached to this guidance.

Specified time for comment from Faculty Senate: Final comments are requested from the Faculty Senate by May 31, 2004.
Standards for Peer Review.

Summary: Peer review is an essential component of the process by which funds for scholarly and creative activities are awarded and articles are accepted for publication in most scholarly journals. The University of Louisville encourages its members to contribute to the peer review process whenever possible and appropriate. The review process must be thorough, unbiased, timely, and confidential.

A. Definitions for this subsection.
1. **Peer review** is the expert review of products of creative or scholarly activity, such as an article submitted for publication, a grant proposal, a clinical research protocol, a work of art, or other products of intellectual activity.

2. **Reviewer**, or referee, is the expert called upon to provide a review of products of creative or scholarly activity. Reviewers include those who are asked by a colleague for informal reviews as well as those acting formally on behalf of a scholarly journal, funding agency, or accreditation organization.

B. Reviewers shall provide reviews that are thorough.
1. Reviewers should offer their expertise as much as possible when invited and, conversely, should refrain from providing reviews on subject areas unfamiliar to them. Reviewers who doubt that their expertise is appropriate should consult with the organization requesting the review.

2. Thorough reviews also require that the expert reviewer devote enough time to understand the material under review, and to make understandable the reviewer's reasons for a favorable or unfavorable review.

C. Reviewers shall provide reviews that are unbiased.
1. Reviews must not be influenced by conflicts of interest. Conflicts of interest might arise from factors that include competitive pressures, financial rewards, and close professional or personal relationships either with the author(s) or their competitors. Reviewers who feel that their review would be unavoidably influenced by any conflict of interest must decline to provide the review.

2. Reviewers who could be perceived as being affected by a conflict of interest, but feel they can nevertheless provide an unbiased review, have an obligation to inform the organization requesting the review that a potential for conflict of interests exists.

3. Reviewers should fully disclose the basis for their favorable or unfavorable reviews.

D. Reviews should be done in a timely fashion.
1. Reviewers who undertake to provide a review should complete it within the time frame requested. Reviewers unable to complete a review within the time frame requested should inform the organization that a delay is unavoidable so that the review can be reassigned if necessary.
2. Reviewers shall not delay reviews to serve their own interests, or those of another party. For example, reviewers shall not delay reviews so that their own work or that of a party close to them can submit a scholarly or creative product that might have been in preparation in the same area.

E. Expert reviews and the materials being evaluated shall remain confidential.
1. All material under review is privileged information. It must not be used to the benefit of the reviewer or any third parties, until and unless the same material has been made public by being published or otherwise presented in a public forum by the authors.

2. Privileged information shall not be shared with a third party unless necessary to the review process, in which case the names of those with whom the information is shared should be made known to the organization requesting the review.

3. Reviewers must follow any guidelines specified by the organization requesting the review as regards copying or retaining material after the confidential review process is completed. Generally, materials being reviewed are not to be copied or retained after the review process ends.

4. Confidentiality of information gained via a review shall be maintained unless professional ethical precepts, such as avoiding potential harm to study subjects or public health, take priority.
Mentor/Trainee Responsibilities
Summary: This document applies to all who either guide or receive guidance in the conduct of scholarly or creative activity. The principles in this document cover the entire period of guidance/supervision and may, by mutual agreement, extend beyond the trainee's graduation/completion of training. The best mentoring is done selflessly, guided by only the best interests of the mentee.

A. Definitions for this subsection.
1. Mentor: One who provides guidance on any or all aspects of the professional development of an undergraduate student, a graduate student, a postdoctoral fellow or a junior faculty member. A mentor may also serve as the mentee's advisor.
2. Advisor: Synonymous with major professor and preceptor; one who guides and trains the trainee in the conduct of scholarly and creative activity. An advisor may also serve as the trainee's mentor.
3. Supervisor: Often the faculty advisor; for specific tasks, may be other members of a team, including laboratory personnel, other workers in the field, postdoctoral fellows and advanced graduate students.
4. Trainee: An undergraduate student, a graduate student or a postdoctoral fellow who is being trained in the conduct of scholarly or creative activity.
5. Mentee: An undergraduate student, a graduate student, a postdoctoral fellow or a junior faculty member who receives guidance on any or all aspects of professional development.
6. Advisee: A frequently used term for one who is being advised; may be either a trainee or a mentee.

B: Gender and race issues related to mentoring: While mentors need to be sensitive to differences in motivation, interests and concerns between themselves and their students, in general, they need to be especially sensitive to those differences when there are gender, racial or cultural differences between themselves and their trainees. In their partnership, research mentors and trainees have complementary responsibilities to ensure a productive venture and to avoid potential pitfalls.

C: Mentor responsibilities and principles for advising in the responsible conduct of scholarly and creative activity: Mentors are responsible for guiding the professional development of trainees, especially those aspects related to the responsible conduct and reporting of scholarly and creative activity. Among mentors' responsibilities (grouped below by activity rather than by priority) are to:

- guide the trainee's intellectual development, including the nurturing of creativity and independent critical thinking, in the discipline and guide the trainee in the tools, methods and style of oral and written communication appropriate to the chosen area of scholarly or creative activity;
- advise the trainee on courses and training programs that may be necessary or helpful for the trainee's intellectual development;
- provide realistic goals and timelines for the completion of work;
- monitor the accuracy, validity and integrity of the trainee's work;
- provide honest, timely feedback on the trainee's efforts and work;
provide guidelines on which data, activities and results are to be held confidential; and the motivation for doing so;
provide guidelines on the timing of and the avenues for communication of scholarly and creative activities and results;
facilitate the social integration of trainees into the local and the larger community of professionals in the discipline, and provide ample opportunities for the trainee to make both oral, written and other (where appropriate) forms of presentations of results;
provide instruction in and opportunities for responsible administration of scholarly and creative activity and grant writing, where appropriate;
act as positive role models that are worthy of emulation;
treat all trainees respectfully, fairly and equitably, independent of their gender, race, religion, national origin, age, sexual orientation, values or beliefs;
ensure that trainees are informed of all applicable university policies, including those related to sexual harassment and discriminatory harassment;
avoid dual relationships, other than mentor/advisor, with trainees, including romantic relationships and outside business dealings (these relationships are addressed in the University of Louisville Conflict of Interest Policy);
encourage the trainee to move on, and assist in the process where possible, when the trainee's work is done.

D: Trainee responsibilities and principles for being trained in the responsible conduct of scholarly and creative activity: Trainees are responsible for following the program for professional development, especially those aspects related to the responsible conduct and reporting of scholarly and creative activity, that they negotiate with their mentors. Among trainees' responsibilities (grouped below by activity rather than by priority) are to:

work diligently to develop creativity and critical thinking and to master the tools, methods and style of oral and written communication appropriate to the chosen area of scholarly or creative activity;
complete the courses and training programs mutually agreed to with their advisors;
strive to meet the goals and timelines set for the completion of their work;
exercise due diligence to ensure the accuracy, validity and integrity of the their work;
seek and be open to receiving honest feedback on their efforts and work;
observe the guidelines on which data, activities and results are to be held confidential;
observe the guidelines on the timing of and the avenues for communication of scholarly and creative activities and results;
enter willingly into the local and the larger professional community in the discipline, and welcome opportunities to make both oral, written and other (as appropriate) presentations of results;
take advantage of opportunities for instruction in the responsible administration of scholarly and creative activity and grant writing;
seek out positive role models that are worthy of emulation;
• treat all peers, faculty and university personnel respectfully, fairly and equitably, independent of their gender, race, religion, national origin, age, sexual orientation, values or beliefs;
• seek to be informed of all applicable university policies, including those related to sexual harassment and discriminatory harassment;
• avoid dual relationships, other than that of trainee/mentee, with advisors and supervisors, including romantic relationships and outside business dealings (these relationships are addressed in the University of Louisville Conflict of Interest Policy).