

IDAHO STATE UNIVERSITY
POLICIES AND PROCEDURES (ISUPP)
Misconduct in Research and Scholarship Policy
ISUPP 7060

POLICY INFORMATION

Policy Section: *Research*

Policy Title: *Misconduct in Research and Scholarship*

Responsible Executive (RE): *Vice President for Research*

Sponsoring Organization (SO): *Research Outreach and Compliance*

Dates: Effective Date: *April 8, 2013*

Revised: *August 22, 2018 (prev: 9-20-17, 1-27-14)*

Annual Review: *August 22, 2019*

I. INTRODUCTION

ISU is an institution dedicated to the development and dissemination of knowledge. As such, ISU has the responsibility to foster an environment of academic freedom in which new methods, ideas and knowledge may be developed and tested, while maintaining integrity and ethical conduct during research performance. Situations may arise leading to allegations/infractions of the accepted practical and/or ethical standards for conducting research and scholarly activities. Under federal regulations and guidelines, the University is obligated to investigate and resolve all such allegations and/or infractions.

Misconduct proceedings shall have three main purposes: a) to maintain the integrity and accountability of the research and scholarly activities at ISU, b) to protect innocent scholars from harassment, and c) to protect the individual reporting allegations from possible retribution.

As a recipient of funds sponsored by Public Health Service (PHS), ISU complies with the regulations specific to this agency to remain qualified. Therefore, ISU had adopted as the core language and structure of its Misconduct in Research and Scholarship policy and associated procedures the template provided by the Office for Research Integrity (ORI) within the U.S. Department of Health and Human Services – the parent agency of PHS (whose component agencies include HHS, FDA, HRSA, CDC, among others). The resulting policy is consistent with ISU’s mission and goals. The procedures are applied with specific rigor where PHS funding is involved, as a matter of compliance.

II. POLICY STATEMENT

All faculty, staff, and students involved in research and scholarly activities under ISU’s auspices are expected to conform with the accepted standards for the ethical conduct of research and scholarly activities within their field(s). This policy therefore applies to all individuals at ISU engaged in all scholarship and research, regardless of funding source or partner agency. If, and when, allegations or reports of misconduct arise, the University is responsible to respond (inquire, assess and investigate), to further take steps to resolve and address such infractions of conduct, should they be proven valid.

To meet this responsibility, the Assistant Vice President for Research Outreach and Compliance is designated to serve as the Research Integrity Officer (RIO) and to delegate the administration of this

policy as needed. The Provost will serve as the Deciding Official (“DO”). The RIO is the proper authority to contact with concerns regarding misconduct in research or scholarly activities.

Research misconduct means misconduct in research and scholarship, as defined in 42 CFR Part a3:

- i Fabrication or falsification of data, plagiarism, or other practices which seriously deviates from those that are commonly accepted within the academic or scientific community for proposing, conducting, implementing, or reporting research.
- ii Failure to comply with federal, state, or University requirements for protecting researchers, human subjects, and the public during research and for insuring the welfare of laboratory animals.
- iii Use of research funds, facilities, or staff for unauthorized and/or illegal activities.

Research misconduct includes other practices that seriously deviate from those that are commonly accepted within the scientific community for the proposing, conducting or reporting research.

Research misconduct does not include honest error or honest differences in interpretations or judgments of data.

III. AUTHORITY AND RESPONSIBILITIES

The enforcement of this policy is the responsibility of the Assistant Vice President for Research Outreach and Compliance under the oversight of the Vice President for Research.

Applicability. All faculty and staff are responsible for complying with this policy as a condition of employment and the conduct of research and scholarly activities. All faculty and staff are responsible to be familiar with the Implementing Procedure for ISUPP 7060 prior to making a report of misconduct. This ensures that complainants understand what actions they are instigating, the scope of their protections and the sequence of events that follow each report.

Eligibility. This policy applies only to allegations of research misconduct that occurred within the previous six years from the date when the institution or sponsoring agency (ex: HHS) received the allegation. This timeframe is subject to the subsequent use, health or safety of the public, and the grandfather exceptions in 42 CFR § 93.105(b).

IV. PROCEDURES

The practice of institutional investigation and resolution of alleged misconduct in research and scholarly activities is based on federal regulations. It is the responsibility of the RIO to develop (and update as needed) detailed procedures to address the institutional approach to potential misconduct. The **ISUPP 7060, Implementing Procedures for Responding to Allegations of Misconduct in Research and Scholarship**, provides detailed descriptions of the processes, definitions and the workflow involved in ISU’s response when a Misconduct allegation is reported. This Procedure is available through the Research Outreach and Compliance portion of the Office for Research website under Research Misconduct.