## **Drake University**

# Policy and Procedures for Dealing With and Reporting Possible Misconduct in Science

ntegrity in the conduct of research is critical and must be maintained. This policy provides the basis for dealing with instances of alleged or apparent misconduct

The policy and procedures set forth in this document apply to all instances of alleged or apparent misconduct involving research research training and related activities conducted funded or regulated by rake University ssues that are not primarily scientific are outside the scope of these procedures

#### 5.251 Definitions

isconduct is defined as serious deviation such as fabrication falsification or plagiarism from accepted practices in carrying out research or in reporting the results of research. This definition does not include honest error or honest differences in interpretations or judgments of data

n inquiry consists of information gathering and initial fact finding to determine whether an allegation or apparent instance of misconduct warrants an investigation

n investigation is a formal examination and evaluation of all relevant facts to determine if an instance of misconduct has taken place of misconduct has already been confirmed and investigation may proceed to determine the extent of any adverse effects resulting from the misconduct

### **5.252 Guiding Principles**

- a aintain confidentiality for the respondent the complainant and the case to the fullest extent possible
- b ssure the respondent a fair hearing
- c Require that all allegations be made in writing to the Provost and signed by the complainant

#### 5.253 Committee on Scientific Misconduct

The xecutive ommittee of the aculty Senate shall annually appoint three tenured faculty members who have appropriate scientific expertise to the rake University ommittee on Scientific isconduct in the event of alleged misconduct two additional members shall be appointed by the Provost after consultation with the respondent and the supervisory dean

# **5.254 Preliminary Inquiry**

The supervisory dean shall conduct the preliminary inquiry after consultation with the chairperson s. This phase shall include an informal consultation with the accused party ies the complainant and any other individuals who are able to provide relevant information to the inquiry. The purpose of the preliminary inquiry is to determine if there are sufficient grounds to justify a full scale investigation. The inquiry shall be completed within days report on the preliminary inquiry shall be filed by the dean with the Provost.

## **5.255 Procedures for Investigation**

fter the preliminary stage has been completed and if sufficient evidence supports a full investigation as determined by the Provost

- a The individual accused of scientific misconduct and any collaborators who might be involved shall be informed in writing by the Provost of the charges before the investigation is begun
- b The written statement shall include

notice that a full investigation is to be conducted

nature of the investigation

focus of investigation and

assurance that the individual s under investigation will be given the opportunity to defend his her their conduct and to provide information to the investigative body

c The following individuals shall be informed in writing regarding the investigation by the Provost

the University President

the ean of the college of each individual under investigation

the dean of any other college in which event may have occurred if

different from the accused individual s college

the chairperson of the department of each individual under investigation

the chairperson of any other department in which event may have

occurred if different from the accused individual s department

the agency sponsoring the research and

the complainant

# **5.256 Role of Investigative Body**

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testiurred if different from the accused individual s deg

b Unfounded Ilegations rought with alicious ntent The Provost shall recommend to the President consideration of appropriate administrative action against the individual s making the false accusation

c llegations are Substantiated

The Provost shall recommend to the President appropriate action after consultation with the appropriate college dean schairperson scand University legal counsel. The Provost shall submit a written report to the agency sponsoring the research publishers and editor if research papers have been submitted or published the President and the oard of overnors.

#### **5.259 Records Maintenance**

omplete files of written records pertaining to each inquiry investigation shall be properly labeled as confidential and stored by the Provost for fifteen years of the allegations are substantiated a statement of the allegations inquiry investigation process outcome and actions shall be placed in the individual s personnel file by the Provost

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