OFFICIAL

Policy and Procedure Statement 5.03
Addressing Allegations of Misconduct
Review Cycle: Apr. 1, EY
in Academic Research and Scholarship
Review Date: April 1, 2011
Reviewer: AVP/Res & Sponsored
Sponsored
Programs

BACKGROUND/PURPOSE

1. The integrity of the research process is an essential aspect of a University's intellectual and social structure. Research is defined as all research, development, scholarly, and creative activity that supports the intellectual endeavors of the University. The term "research" encompasses all scholarly and creative activity regardless of its empirical nature or methods. Although incidents of misconduct in research may be rare, those that do occur threaten the entire research enterprise.

2. The integrity of the research process must depend largely upon self-regulation. Formalization of the rights and responsibilities underlying scientific method is imperative in the research process. The University is responsible both for promoting academic practices that prevent misconduct and for developing policies and procedures for dealing with allegations or other evidence of fraud or serious misconduct. All members of the University community—students, staff, faculty, and administrators—share responsibility for developing and maintaining standards to assure ethical conduct of research and detection of abuse of these standards. This policy applies to any person paid by, under the control of, or affiliated with Texas State, such as scientists, trainees, technicians, and other staff members, students, fellows, guest researchers, or collaborators.

3. In dealing with ethical conduct issues, it is important to create an atmosphere that encourages openness and creativity. Good and innovative research cannot flourish in an atmosphere of oppressive regulation. Moreover, it is particularly important to distinguish misconduct in research and scholarship from the honest error and the ambiguities of interpretation that are inherent in the scientific process and are normally corrected by further research. The policy and procedures outlined as Appendix A apply to all persons paid by, under the control of, or affiliated with Texas State, such as scientists, trainees, technicians and other staff members, students, fellows, guest researchers, or collaborators. This policy is not intended to address all academic issues of an ethical nature. For example, discrimination and affirmative action are covered by other University
policies. This policy has been written to comply with the requirements of the Office of Research Integrity (ORI), Office of Public Health and Science (PHS), Department of Health and Human Services (DHHS). These requirements are detailed in 42 C.F.R. Part 50, Subpart A, entitled "Responsibility of PHS Awardees and Applicant Institutions for Dealing With and Reporting Possible Misconduct in Science." Portions of this policy have been excerpted from the sample policy available at http://www.ori.dhhs.gov

Certification Statement

4. This PPS has been approved by the reviewer listed below and represents Texas State's Division of Academic Affairs policy and procedure from the date of this document until superseded.

Review Cycle: _________________  Review Date: _________________
Reviewer: _________________  Date: _________________
Approved: _________________  Date: _________________

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