

Drake University
Policy and Procedures for Dealing With and Reporting Possible Misconduct in Science

Integrity 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 Drake University. Issues that are not primarily scientific are outside the scope of these procedures.

5.251 Definitions

"Misconduct" 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.

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

An "investigation" is a formal examination and evaluation of all relevant facts to determine if an instance of misconduct has taken place. If 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. Maintain confidentiality for the respondent, the complainant, and the case to the fullest extent possible.
- b. Assure 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 Executive Committee of the Faculty Senate shall annually appoint three tenured faculty members who have appropriate scientific expertise to the Drake University Committee on Scientific Misconduct. 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 30 days. A report on the preliminary inquiry shall be filed by the dean with the Provost.

5.255 Procedures for Investigation

After 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
 1. notice that a full investigation is to be conducted;
 2. nature of the investigation;
 3. focus of investigation; and
 4. 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:
 1. the University President;
 2. the Dean of the college of each individual under investigation;
 3. the dean of any other college in which event may have occurred if different from the accused individual(s) college;
 4. the chairperson of the department of each individual under investigation;
 5. the chairperson of any other department in which event may have occurred if different from the accused individual(s) department;
 6. the agency sponsoring the research; and
 7. the complainant.

5.256 Role of Investigative Body

Drake University Committee on Scientific Misconduct will conduct a full investigation of charges of scientific misconduct. The Committee shall complete the investigation within 90 days.

5.257 Interim Administrative Actions

Interim administrative action may be taken by the Provost if prompt action is necessary to:

- a. Protect human research subjects (as provided for in separate assurance);
- b. Protect animal research subjects (as provided for in separate assurance);
- c. Prevent inappropriate use of funds; and
- d. Prevent premature punitive actions against either complainant or respondent.

5.258 Results of Investigation by Investigative Body

When the investigation is completed, the Committee will submit a written report containing their findings and recommendations to the Provost.

- a. Allegations are Unfounded.

All participants in the investigation, appropriate dean(s) and chairperson(s), the President and the agency sponsoring the research will receive a written report from the Provost. If there had been reasonable appearance of cause with no malicious intent on the part of the complainant, no punitive action against the complainant will be countenanced.

b. **Unfounded Allegations Brought with Malicious Intent.**

The Provost shall recommend to the President consideration of appropriate administrative action against the individual(s) making the false accusation.

c. **Allegations are Substantiated.**

The Provost shall recommend to the President appropriate action after consultation with the appropriate college dean(s), chairperson(s), and 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 Board of Governors.

5.259 Records Maintenance

Complete files of written records pertaining to each inquiry/investigation shall be properly labeled as confidential and stored by the Provost for fifteen years. If 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.