



INSTITUTIONAL INTEGRITY

Revised March 2023

POLICY STATEMENT

Research misconduct includes—without limitation—fabrication, falsification or plagiarism in proposing, performing or reviewing research or in reporting research results. All employees or individuals associated with Gallaudet University should report observed, suspected or apparent misconduct in research to the Chief Research Officer.

REASON FOR POLICY

In pursuing its mission, and in the engagement of University employees in sponsored programs, the University attempts to promote and conform to the highest standards of ethical research and scholarly conduct.

PROCEDURES

In cases where scholarly misconduct is alleged to have occurred in work by or for Gallaudet University personnel, and for which governmental funding has been received in any form, the following steps shall be taken:

1. Allegations of scholarly misconduct or dishonesty shall be directed to the Chief Research Officer, who will make an initial, informal inquiry to ensure they are not frivolous and to ascertain whether they do in fact affect or involve governmentally funded personnel or projects.
2. If governmentally funded activities are involved, upon notification, the Office Sponsored Programs will contact the appropriate agencies as required in federal or state regulations, and all steps to follow will be conducted in accordance with applicable regulations, superseding the steps outlined here.
3. The Chief Research Officer will pursue inquiry by forming a committee comprised of at least a Chief Research Officer-designated inquiry chair, two (2) tenured full professors in

relevant disciplines from Gallaudet University, and one (1) tenured full professor from another research institution. The composition of the committee may be varied if the Chief Research Officer deems it necessary to ensure appropriate expertise and to avoid apparent or actual conflicts of interest.

4. Operating confidentially, the inquiry committee may require a record they deem necessary from the investigators accused of misconduct; may request that a procedure be repeated or demonstrated; and may recommend to the Chief Research Officer other necessary steps, including repetition of a procedure by an outside investigator. The committee's goals will be first, to determine whether misconduct occurred; second, to recommend further action or investigation to the Chief Research Officer ; and third, to issue a written report.
5. In instances where clarifications of professional credit, repetition of poorly documented work or other steps may be acceptable to all parties as a way of removing the allegation, the inquiry committee may, under the Chief Research Officer's direction, act in a mediating role.
6. In the event misconduct in governmentally funded research appears to have occurred, the Chief Research Officer will recommend to the Provost and/or the President appropriate action with respect to external sponsors; further investigation that may seem warranted, including steps toward criminal investigation if necessary; and disciplinary actions for the investigator.
7. *Timeline:* An inquiry will be completed within 60 days of receipt of an allegation of misconduct in governmentally supported research. If sufficient basis for investigation into possible scientific misconduct exists, that investigation will be initiated within 30 days of the inquiry report, and will be completed within 120 days. All steps described herein will comply with guidelines from the U.S. Department of Health and Human Services (DHHS) as closely as possible. The University will act to prevent health hazards, to protect individuals and to safeguard federal funds and equipment. It will take steps to notify DHHS's Office of Research Integrity at each appropriate juncture, and will notify external sponsors within 24 hours of any indication of possible criminal violations.
8. Additional steps will be taken as necessary to meet procedural requirements of the federal or state funding agency, for it is the intention of Gallaudet University to ensure full compliance with federal and related state regulations as well as to ensure scientific integrity.

9. *Confidentiality statement:* Throughout the above steps, the University will seek to protect and preserve the reputation and positions of those who have made allegations of misconduct in good faith, and also the reputations and positions of those who have been the object of allegations found to be false. Accusers and the accused will have appropriate opportunities to respond to findings. A good faith effort will be made to keep the procedures of inquiry and identities of those involved confidential.

FORMS/INSTRUCTIONS

None

RELATED INFORMATION

U.S. Department of Health and Human Services, Office of Research Integrity:
<https://ori.hhs.gov/>

DEFINITIONS

Term	Definition
Misconduct in scientific research	Fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results. Research misconduct does not include honest error or differences of opinion. See definitions for fabrication, falsification, and plagiarism as follows: <ul style="list-style-type: none"> • Public Health Service: § 93.103 • National Science Foundation: 45 C.F.R. part 689
Allegation	Disclosure of possible research misconduct through any means of communication. The disclosure may be by written or oral statement or other communication to an institutional or HHS official.
Complainant	A person who in good faith makes an allegation of research misconduct.
Conflict of interest	The real or apparent interference of one person’s outside interests with the interests of another person where potential bias may occur due to prior or existing personal or professional relationships.

Good faith allegation	Having a belief in the truth of one's allegation or testimony that a reasonable person in the complainant's or witness's position could have based on the information known to the complainant or witness at the time. An allegation is not in good faith if made with knowing or reckless disregard for information that would negate the allegation or testimony.
Inquiry	Preliminary information-gathering and preliminary fact-finding that meets the criteria and follows the procedures of §§ 93.307-93.309 .
Investigation	The formal development of a factual record and the examination of that record leading to a decision not to make a finding of research misconduct or to a recommendation for a finding of research misconduct which may include a recommendation for other appropriate actions, including administrative actions.
Investigators	Any person paid by, under the control of, or affiliated with the University, such as faculty, scientists, trainees, technicians, other staff members, students, fellows, guest researchers or collaborators at or with the University.
Office of Research Integrity (ORI)	The office to which the HHS Secretary has delegated responsibility for addressing research integrity and misconduct issues related to PHS supported activities.
Public Health Service (PHS) regulation	The PHS regulation that establishes standards for University inquiries and investigations into allegations of research misconduct. It is set forth in "Responsibility of PHS Awardee and Applicant Institutions for Dealing With and Reporting Possible Misconduct in Science," or as amended (42 C.F.R. §50, Subpart A).
PHS support	PHS funding, or applications or proposals therefor, for biomedical or behavioral research, biomedical or behavioral research training, or activities related to that research or training, that may be provided through: Funding for PHS intramural research; PHS grants, cooperative agreements, or contracts or subgrants or subcontracts under those PHS funding instruments; or salary or other payments under PHS grants, cooperative agreements or contracts.

Research	A systematic experiment, study, evaluation, demonstration or survey designed to develop or contribute to general knowledge (basic research) or specific knowledge (applied research) relating broadly to public health by establishing, discovering, developing, elucidating or confirming information about, or the underlying mechanism relating to, biological causes, functions or effects, diseases, treatments, or related matters to be studied.
Research record	The record of data or results that embody the facts resulting from scientific inquiry, including but not limited to, research proposals, laboratory records, both physical and electronic, progress reports, abstracts, theses, oral presentations, internal reports, journal articles, and any documents and materials provided to HHS or an institutional official by a respondent in the course of the research misconduct proceeding.
Respondent	The person against whom an allegation of research misconduct is directed or the person whose actions are the subject of the inquiry or investigation. There can be more than one respondent in any inquiry or investigation, and, if there are multiple respondents, all references in this policy to “respondent” shall also be read in the plural as appropriate.
Retaliation	Any adverse action taken against a complainant, witness, or committee member by an institution or one of its members in response to: <ul style="list-style-type: none"> • A good faith allegation of research misconduct; or • Good faith cooperation with a research misconduct proceeding.

RESPONSIBILITIES

Role	Responsibility
Principal Investigator or Project Director	<ul style="list-style-type: none"> • Report any allegation of misconduct via the proper channels as described in this policy.
Grant employee	<ul style="list-style-type: none"> • Report any allegation of misconduct first to your Principal Investigator or Project Director. If allegation is about your PI or PD, report via the proper channels as described in this policy.

Office of Research	<ul style="list-style-type: none">• Upon notification, provide notification to the Research Integrity Officer (Chief Research Officer) and potentially the external funding agency associated with that funded project.
Department head	<ul style="list-style-type: none">• Communicate these practices to all responsible employees within the department.
Chief Research Officer	<ul style="list-style-type: none">• Communicate these practices to all responsible employees within the departments.