



UNIVERSITY OF CENTRAL FLORIDA

Office of the President

<b>SUBJECT:</b> Research Misconduct Policy	<b>Effective Date:</b> 10/4/2018	<b>Policy Number:</b> 4-211.1	
	<b>Supersedes:</b> 4-211	<b>Page</b> 1	<b>Of</b> 4
	<b>Responsible Authority:</b> Vice President for Research and Dean of the College of Graduate Studies		

### **APPLICABILITY/ACCOUNTABILITY**

This policy applies to all members or affiliates of the university community engaged in both sponsored and non-sponsored research.

### **BACKGROUND**

The University of Central Florida is committed to conducting research with professional integrity and the highest ethical standards. The existence of trust within the scientific community and from the public is paramount to the successful advancement of knowledge and the growth of the university's research program. In addition to the university's expectation that research be conducted with the highest ethical standards and professional integrity, federal laws and state statutes regulate research misconduct and establish related ethical and integrity standards. This policy establishes a process to comply with these regulations and statutes and to properly review allegations of research misconduct at the university.

Federal regulations require institutions of higher education to bear primary responsibility for prevention and detection of research misconduct and for the inquiry, investigation, and adjudication of alleged research misconduct. The university has the responsibility to establish research misconduct policies and procedures to provide appropriate safeguards for complainants and respondents, conduct inquiries, and investigations in accordance with federal regulations, protect the interests of the university and sponsored agencies,

and effectively communicate to faculty members, staff members, students, and affiliates the responsible conduct of research.

## **POLICY STATEMENT**

University faculty, staff, students, and affiliates will not fabricate, falsify, or plagiarize in proposing, performing, or reviewing research, or in reporting research results. The university and its faculty, staff, students, and affiliates engaged in research activity will fully comply with federal agency regulations, state ethical statutes, and university policies and procedures in conducting research, and will report allegations of research misconduct to the research integrity officer for review. University faculty, staff, and students responsible for the design, conduct, or reporting of the research must meet federal and university research misconduct training requirements. The university will foster research integrity by providing research misconduct training to faculty, staff, and students engaged in research activity, and informing them of the university's policies and procedures regarding responsible conduct in research.

## **DEFINITIONS**

**Fabrication.** Making up data or results and recording or reporting them.

**Falsification.** Manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.

**Inquiry.** Preliminary information-gathering and fact-finding.

**Investigation.** The formal development of a factual record and the examination of the 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.

**Plagiarism.** The appropriation of another person's ideas, processes, results, or words without giving appropriate credit.

**Research.** A systematic experiment, study, evaluation, demonstration, or survey designed to develop or contribute to general knowledge (basic research) or specific knowledge (applied research) in all fields by establishing, discovering, developing, elucidating, or confirming engineering, science, medicine, education, mathematics, humanities, and research involving human subjects or animals.

**Research Integrity Officer.** The institutional official responsible for 1) assessing allegations of research misconduct; 2) overseeing the assessment, inquiry, and investigation process; 3) ensuring confidentiality for respondent and complainant; and 4)

maintenance and custody of research records and evidence. The director of the Office of Compliance within the Office of Research serves as the research integrity officer.

**Research Misconduct.** The violation of the standards of scholarly conduct and ethical behavior in scientific research, including fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results.

## **PROCEDURE**

Allegations of research misconduct will be brought to the Office of Research Compliance in the Office of Research, and will be processed in accordance with the procedures outlined in the research misconduct assurance guidelines. The director of the Office of Research Compliance will serve as the research integrity officer and will record the allegation and notify the vice president for research and dean of the College of Graduate Studies or representative, and the Office of Student Conduct when students are involved. The research integrity officer will review the allegation documents, and (if sufficiently credible) will notify the vice president for research and dean of the College of Graduate Studies to appoint a research misconduct inquiry committee. If the research misconduct inquiry committee warrants a formal investigation, the vice president for research and dean of the College of Graduate Studies will appoint a research misconduct investigation committee. The research misconduct inquiry and investigation committees will summarize their findings and recommendations in a report and submit to the vice president for research and dean of the College of Graduate Studies for approval. Based on the research misconduct investigation report findings and recommendations, the vice president for research and dean of the College of Graduate Studies, in concert with the Office of Academic Affairs, and other appropriate offices, will take appropriate action as warranted in accordance with university policy, federal regulations, and state statutes.

## **RELATED INFORMATION**

- 1) U.S. Department of Health and Human Services Office of Research Integrity (ORI) Policies and Procedures <https://ori.hhs.gov/index.php/handling-misconduct>
- 2) State of Florida Code of Ethics for Public Officers and Employees  
Florida Statutes, Title X, Chapter 112.313 – 112.326  
[http://www.leg.state.fl.us/statutes/index.cfm?App\\_mode=Display\\_Statute&URL=0100-0199/0112/0112.html](http://www.leg.state.fl.us/statutes/index.cfm?App_mode=Display_Statute&URL=0100-0199/0112/0112.html)

## **RELATED DOCUMENTS**

1. National Science Foundation (NSF) Regulations on Research Misconduct at 45 CFR Part 689 <https://www.nsf.gov/oig/pdf/cfr/45-CFR-689.pdf>

2. U.S. Department of Health & Human Services, Public Health Service Policies on research Misconduct at 42 CFR Parts 50 & 93  
[http://ori.hhs.gov/sites/default/files/42\\_cfr\\_parts\\_50\\_and\\_93\\_2005.pdf](http://ori.hhs.gov/sites/default/files/42_cfr_parts_50_and_93_2005.pdf)
3. UCF United Faculty of Florida Collective Bargaining Agreement  
<http://www.collectivebargaining.ucf.edu/completecba.asp>
4. UCF Academic Affairs Student Conduct Policy  
<http://goldenrule.sdes.ucf.edu/docs/goldenrule.pdf>
5. University of Central Florida Research Misconduct Assurance  
<http://www.rcr.ucf.edu/policies.html>
6. Whistle-blower Determination and Investigation Policy  
<https://policies.ucf.edu/documents/2-010Whistleblower.pdf>
7. Fraud Prevention and Detection Policy  
<https://policies.ucf.edu/documents/2-800.1FraudPreventionAndDetection.pdf>

**CONTACTS**

Director, Office of Compliance, Office of Research, (407) 823-3778.

**RELATED UCF WEB SITES**

<http://www.research.ucf.edu/compliance.html>

**INITIATING AUTHORITY:** Vice President for Research and Dean of the College of Graduate Studies

<b>POLICY APPROVAL</b>	
<b>(For use by the Office of the President)</b>	
Policy Number: 4-211.1	
Initiating Authority: _____	Date: <u>9/20/18</u>
University Policies and Procedures Committee Chair: _____	Date: <u>9/28/18</u>
President or Designee: _____	Date: <u>10.1.18</u>