

## **THE UNIVERSITY OF THE SOUTH RESEARCH MISCONDUCT POLICY AND PROCEDURES**

The University of the South expects all faculty, staff, and students to maintain the highest standards of conduct in pursuing research activities. Any form of research misconduct is contrary to the principles upon which this University was founded and adversely affects the reputation of all individuals in the Sewanee community.

The purpose of this policy statement is to inform those participating in research activities of both the University's and funding agencies' research misconduct policies, to identify general types of research misconduct, and to set in place mechanisms to deal with alleged violations of these principles.

1. Research Misconduct means falsification, fabrication, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the academic community for proposing, conducting, or reporting research. For the purpose of this policy, the University considers the term "research" to encompass both research and scholarship. Misconduct includes retaliation of any kind against a person who in good faith reported or provided information about possible misconduct. It does not include honest error or honest differences in interpretations or judgments of data.

2. Allegations of misconduct on the part of a faculty or staff member or a student should be reported in writing to the Dean of the College or the Dean of the School of Theology, as appropriate. The Dean will keep in confidence the name of the person bringing the charge. Upon receipt of an allegation of research misconduct, the Dean will promptly initiate an inquiry to assess the validity of the allegation. The Dean should complete his or her inquiry within 60 days. If the supporting information is not sufficient to substantiate the allegation, the inquiry is complete, but all material related to the allegation and inquiry will be maintained for three years.

3. If the Dean concludes that the allegation has substance, the Dean will inform the Provost in writing, and the Provost will decide if a formal investigation is warranted. If the Provost concludes a formal investigation is appropriate, the Provost will so notify the alleged offender and will appoint an investigative committee consisting of the Dean and/or the chair of the appropriate division, and three to five members who have the appropriate background to judge the issues being raised. Standing committees that deal with research issues (e.g. Institutional Review Board for Human Subjects Research, Institutional Animal Care and Use Committee) may be used as one source for members of an inquiry committee. Committee members may be from within or outside the University community, and must have no real or apparent conflicts of interest bearing on the question. The inquiry will ordinarily be completed within 60 days. All specific requirements concerning timing, reporting, documentation, and confidentiality as described in Public Health Service, National Institutes of Health, or National Science Foundation regulations will be met.

4. The investigative committee will submit a written report to the Provost. If the investigative committee determines that the facts support a finding of research misconduct, the

committee will recommend appropriate sanctions to the Provost. The Provost will determine what sanctions to impose and so notify in writing the person to be sanctioned.

5. A faculty or staff member or student found to have committed misconduct in research and against whom sanctions are imposed by the Provost may appeal the Provost's decision to the Vice Chancellor. The appeal must be in writing and submitted within 10 days of the date of the Provost's notice of sanctions. If no appeal is filed or if an appeal is filed and exhausted, the federal agency sponsoring the research shall be informed of the findings of the investigation as required by law. Publishers and editors of journals shall be informed if manuscripts emanating from the research have been submitted or published.