

## RG:05

### Misconduct in Research Policy

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#### I. PURPOSE

Lincoln Memorial University is committed to maintaining high standards of ethical conduct in all aspects of its work including research and education. The University examines and investigates claims of research misconduct, taking care to safeguard the rights of the University, the people making the claims, and the accused. Moreover, the University is required by federal laws to establish clear protocols for handling cases involving claims of research misconduct.

#### II. POLICY STATEMENT

LMU discourages research misconduct in all forms and promotes an atmosphere where potential misconduct is dealt with candidly. Therefore, in accordance with the University's procedures for accusations of research misconduct, the institution mandates that claims of research misconduct be reported quickly and will take appropriate action to resolve such accusations.

#### III. DEFINITIONS

**Research Misconduct:** As defined by 42 C.F.R. § 93.103, fabrication, falsification, and/or plagiarism. It does not include honest error or differences of opinion.

**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.

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

#### IV. AUDIENCE

All University faculty and staff who participate in research, training, scholarships, publishing, or other activities linked to research carried out under the University's auspices are subject to this policy and its supporting processes. Students are also covered by this policy, but only if they are involved in a project that is supported by an outside sponsor for research. Principal investigators working with students are responsible for students' awareness of this policy.

#### V. COMPLIANCE

Failure to follow this policy can result in loss of grant funding, the ability to apply for future grant opportunities through the University, and/or disciplinary action by the Exec. Vice President of Academic Affairs.

## VI. ROLES AND RESPONSIBILITIES

**Faculty/Staff Primary Investigators:** Completes RCR instruction through the Collaborative Institutional Training Initiative (CITI) and is aware of the Misconduct in Research Policy. If working with students, ensures that students are aware of the Misconduct in Research Policy.

**Dean/Chair:** Ensures that graduate students, postdoctoral fellows, other postgraduate trainees, faculty, staff, and undergraduate students within a program/school/college are aware of the Misconduct in Research Policy.

**Office of Research, Grants, and Sponsored Programs:** Provides access to Responsible Conduct of Research training through the Collaborative Institutional Training Initiative (CITI), which covers research misconduct. Assures that individuals awarded funding from certain federal sponsors have completed required RCR training before funding is accepted. Likewise, if a case of Misconduct in Research is confirmed, the ORGSP reports the incident to the appropriate federal agency that funds the project.

**Exec. Vice President of Academic Affairs:** Receives reports of Misconduct in Research. Leads inquiries and appoints a Research Investigation Committee to explore potential cases of Misconduct in Research.

**Research Misconduct Investigation Committee:** A body of four faculty members headed by the Exec. Vice President of Academic Affairs that investigates and objectively considers cases of Research Misconduct.

## VII. APPLICABLE STATUTES, REGULATIONS, AND RELATED POLICIES

- [42 C.F.R. § 93.103 Research Misconduct](#)

## IX. PROCEDURE

### 1.) Misconduct in Research Allegation

- Reports of Misconduct in Research are to be sent in written form to the Exec. Vice President of Academic Affairs as soon as possible.
- Exec. Vice President of Academic Affairs convenes the Research Misconduct Investigation (RMI) Committee.
- RMI Committee reviews evidence and objectively discusses the case as a body. Reports its findings to the Exec. Vice President of Academic Affairs.
- Exec. Vice President of Academic Affairs reviews findings and initiates a resolution to the case.

## X. CONTACT INFORMATION

For more information regarding this policy, please contact the Office of Research, Grants, and Sponsored Programs.

**XI. DOCUMENT HISTORY**  
Effective: 04-24-2024

- [CITI Training](#)