

# **RESEARCH POLICY 6 (RP-6) (FORMER RP/TAP-42) RESEARCH INTEGRITY**

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## **1. Introduction**

This Research Policy defines Research Misconduct and describes the procedures for handling allegations of Research Misconduct at Duquesne University. The responsibility to pursue a report of alleged Research Misconduct belongs to the University and the Review Process described in this Research Policy will be carried out fully to resolve questions regarding the integrity of the research.

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## **2. Policy Statement**

Researchers have the responsibility both to report actual or suspected occurrences of Research Misconduct and to take steps to correct the scientific record where appropriate. In many cases, however, a researcher may not be able to determine whether the concern regarding a research project constitutes Research Misconduct or simply error. The University strongly encourages anyone with concerns about impropriety in a research project to report those concerns to the Office of Research and Innovation (ORI) as further described in this Research Policy. Even in the absence of a specific complaint, ORI should be alerted to questionable research practices that might raise legitimate suspicion of research misconduct. ORI can provide guidance in ambiguous situations. If the inquiry indicates possible criminal violation, the Office of Research Integrity must be notified within 24 hours of obtaining that information.

Except to the extent described herein and as otherwise permissible by law, only those individuals with a need to know in order to perform their job duties and/or effectuate the Review Process will have access to research misconduct cases, as these are confidential proceedings.

The sponsoring entity for a research grant or award in which misconduct is suspected shall be notified by the Vice Provost for Research in writing as soon as the decision has been made to



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## **5. The Review Process**

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### **5.1 Reporting Allegations of Research Misconduct**

Allegations of Research Misconduct should be reported to the Vice Provost for Research or the Senior Director of Sponsored Research and Compliance for discussion and possible referral to the University Committee on Research Misconduct .  
Allegations may be submitted orally or in writing, but Complainants are encouraged to submit a



as appropriate if a finding of research misconduct is made. The Respondent will be given an opportunity to respond to the allegations during the inquiry.

At the completion of the inquiry, the Committee will complete a report of the inquiry findings. Prior to finalizing such findings, the Respondent will have an opportunity to respond to a draft report of the

## **5.5 Investigation**

### **A. Purpose**

An investigation is the formal examination and evaluation of all pertinent facts to determine whether Research Misconduct has occurred. The investigation findings and recommendations are advisory. They will be submitted to and reviewed by the Provost, who will make the final finding on the matter.

### **B. Process**

Following a finding that an investigation is warranted, the Committee will initiate the investigation within 30 business days of the date on which its report of inquiry findings was submitted to the Provost. T

shall be in compliance with any sponsoring entity guidelines that must be followed if the research is supported by external funding. See Appendix A for PHS policies on Research Misconduct. The investigation may consist of a combination of activities including, but not limited to:

1. Review and copying of relevant research data, proposals, correspondence, memoranda of telephone calls or memoranda to file, and other pertinent documents at the University, at the sponsoring entity, or elsewhere.
2. Review of published materials and manuscripts submitted or in preparation.

Inspection of offices, laboratory or clinical facilities, and/or materials.

Interviewing of individuals with an involvement in or knowledge about the report, including both the Complainant and the Respondent, as well as witnesses. Complete summaries of these interviews shall be prepared, provided to the individual interviewed, and included as part of the documentary record of the investigation. The interviewed individual may provide a response, which will also be included as part of the documentary record of the investigation.

In the course of an investigation, additional information may emerge that justifies broadening the scope of the investigation beyond the initial allegations, and the Respondent will be informed accordingly.

The Committee shall notify the Provost of any major developments that could warrant interim action or that must be

After conducting the investigation in accordance with the process outlined above, the Committee will develop a preliminary report. The preliminary report shall include at least the following: a description of the policies and procedures under which the investigation was conducted; a description of how and from whom or where information relevant to the investigation was obtained; and a specific statement of the findings.

If the request is granted, the appropriate University Office will file periodic progress reports as requested by ORI. Non-PHS sponsoring entities may have other guidelines or regulations to be followed. If the deadline cannot be met in an investigation of research that involves no external funding, the Committee shall submit an interim report to the Provost.

The investigation is complete when the Provost has reviewed the report, made a final finding on the matter, and submitted to the sponsoring entity the final investigative report along with a description of any sanctions to be taken by the University. All parties involved will be notified of the outcome by the Provost.

### **C. Findings of the Investigation**

The Provost will review the Committee report and make a final finding on the





## 7. Related Documents

This Research Policy works in conjunction with the following Research and University Policies, which are fully applicable. To the extent there is any conflict between this Research Policy and any of the Research or University Policies listed below, the University retains the sole discretion to determine which takes precedent.

<b>Research Policy/TAP</b>	<b>Title</b>	<b>Web Address</b>
RP-1	Procedure for Submitting External Sponsored Grants and Awards	<a href="https://www.duq.edu/research/research-conduct">https://www.duq.edu/research/research-conduct</a>
RP-2	The Use of Human Subjects in Research	<a href="https://www.duq.edu/research/research-conduct">https://www.duq.edu/research/research-conduct</a>
RP-3	Effort Reporting on Sponsored Grants and Awards	<a href="https://www.duq.edu/research/research-conduct">https://www.duq.edu/research/research-conduct</a>
RP-4	Faculty	

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**7. Contacts**

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Office	Telephone Number	Email Address and/or URL
Office of Research and Innovation	412-396-6326	duq.edu/research <a href="mailto:ORI@duq.edu">ORI@duq.edu</a>

Web Address for this Research Policy: <https://www.duq.edu/research/research-conduct>

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**8. Effective Date and Revision History**

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This Research Policy is subject to periodic review and update by the Office of the Provost and the Vice Provost for Research.

9/3022 (Previous revision was not dated)





## Notice to Respondent

During the research misconduct proceeding, we shall provide the following notifications to all identified Respondents:

**Initiation of Inquiry.** Prior to or at the beginning of the inquiry, we shall provide the Respondent(s) written notification of the inquiry and contemporaneously sequester all research records and other evidence needed to conduct the research misconduct proceeding. If the inquiry subsequently identifies additional Respondents, they shall be promptly notified in writing.

**Comment on Inquiry Report.** We shall provide the Respondent(s) an opportunity to comment on the inquiry report in a timely fashion so that any comments can be attached to the report.

**Results of the Inquiry.** We shall notify the Respondent(s) of the results of the inquiry and attach to the notification copies of the inquiry report and these institutional policies and procedures for the handling of research misconduct allegations.

**Initiation of Investigation.** Within a reasonable time after our determination that an investigation is warranted, but not later than 30 calendar days after that determination, we shall notify the Respondent(s) in writing of the allegations to be investigated. We shall give Respondent(s) written notice of any new allegations within a reasonable time after determining to pursue allegations not addressed in the inquiry or in the initial notice of the investigation.

**Scheduling of**

## **Maintenance and Custody of Research Records and Evidence**

We shall take the following specific steps to obtain, secure, and maintain the research records and evidence pertinent to the research misconduct proceeding:

(1) Either before or when we notify the Respondent of the allegation, we shall promptly take all reasonable and practical steps to obtain custody of all research records and evidence needed to conduct the research misconduct proceeding, inventory those materials, and sequester them in a secure manner, except in those cases where the research records or evidence encompass scientific instruments shared by a number of users, custody may be limited to copies of the data or evidence on such instruments, so long as

