greatest extent possible and consistent with federal and state laws. However, under Florida law, information pertaining to a misconduct case can become publicly available (upon request) at the end of the investigation.

Where can I find the policy and procedures related to research misconduct?

FSU's policies and procedures on research misconduct are published at **research.fsu.edu/research-compliance/research-misconduct/**

Where can I find training on research misconduct?

FSU subscribes to the Collaborative Institutional Training Initiative (CITI Program), which includes a course on the Responsible Conduct of Research and offers the Responsible Conduct of Research (RCR) session(s) which covers Research Misconduct.

What are the best practices for preventing research misconduct?

- The following best practices are recommended by FSU to maintain the highest standards of research integrity: Plagiarism Prevention Tools, Training, Data Management, FSU policies and Federal regulations.
- Review "The Lab: Avoiding Research Misconduct", hosted by the DHHS Office of Research Integrity. In this simulation, you become the lead characters in an interactive movie and make decisions about integrity in research that can have long-term consequences. "The Lab" addresses Responsible Conduct of Research topics such as avoiding research misconduct, mentorship responsibilities, handling of data, responsible authorship, and questionable research practices. **ori.hhs.gov/thelab**
- Create an iThenticate account. The iThenticate software program is an intellectual property verification tool that checks documents for originality in order to prevent plagiarism. While the Turnitin program is used primarily for reviewing student assignments, iThenticate is designed for more scholarly works. Using iThenticate prior to submission of proposals or scholarly publications is optional but strongly encouraged. **research.fsu.edu/research-compliance/research-misconduct/ithenticate/**
- Proper data management and sharing is essential for improving rigor and reproducibility in scientific research data.
- FSU Policy 7A-2, "Misconduct in Research, Creative Activity, and Scholarship," establishes the university's framework for investigating fabrication, falsification, and plagiarism in research.



The Office of Research Integrity, Security, and Ethics (RISE) is responsible for the development, oversight and monitoring of the research compliance program for Florida State University. RISE is your one-stop shop for research compliance matters.

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A QUICK GUIDE TO

RESEARCH MISCONDUCT

FSU | RESEARCH INTEGRITY, SECURITY & ETHICS

DIVISION OF RESEARCH

About this Quick Guide

This Quick Guide has been published by Florida State University's Office of Research Integrity, Security, and Ethics (RISE) as a brief summary of the laws, regulations, and issues to be considered with regards to research misconduct in the university setting. While this Guide is designed to assist you in managing your sponsored projects, it is neither comprehensive nor exhaustive. For specific questions, review the applicable policy in its entirety, and contact the appropriate offices as needed.

Federal Regulations Related to Misconduct in Research

- Department of Defense, DOD Instruction 3210.7
- Department of Energy, 2 CFR 910.132
- Department of Labor, 68 FR 53862
- Environmental Protection Agency, EPA Order 3120.5
- National Aeronautics and Space Administration, 14 CFR 1275
- National Endowment for the Humanities, NEH Research Misconduct Policy
- National Science Foundation, 45 CFR 689
- Public Health Service, 42 CFR 93
- Smithsonian Institute, Smithsonian Directive 604
- Veteran's Administration, VHA Handbook 1058.2

What is research misconduct?

Misconduct means fabrication, falsification, or plagiarism in proposing, performing, reporting, or reviewing research; as well as scholarship, creative activity, and performance. Per FSU policy:

A. **Fabrication** is making up data or results and recording or reporting them.
B. **Falsification** is manipulating materials, equipment, or processes, or changing or omitting data or results such that the research, scholarship, or creative activity is not accurately represented in the record.
C. **Plagiarism** is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.
D. **Serious deviation** from accepted practices.
E. **The destruction** of, absence of, or failure to provide records adequately documenting the Research to the RIO

What is not research misconduct?

Research misconduct does not include differences of opinion; honest, unintentional error; authorship disputes; or personal disputes.

What is required of FSU to be in compliance with federal policies on misconduct?

FSU must establish policies and procedures for investigating and reporting instances of alleged research misconduct, and respond to any allegations that are made. It must promote the responsible conduct of research through education and training, provide assurances necessary to permit FSU to participate in federally-supported research, and provide reports to the funding agency as required.

How is research misconduct identified?

Most cases of research misconduct are suspected and reported by a colleague (students, postdoctoral fellows, staff, or other members within or outside of the research group), by random screening of proposals by federal agencies or manuscripts by editors, or the failure to confirm research results within one's own research group or by others outside the group.

What is the process after an allegation is received by RISE?

Assessment – This is the initial review of the allegation by the Research Integrity Officer (RIO) to determine whether an inquiry is warranted. An inquiry is warranted if the allegation falls within the definition of research misconduct and is sufficiently credible and specific so that potential evidence of research misconduct may be identified. At FSU, the RIO is the Director of RISE.

Inquiry – This is an initial review of the evidence to determine whether an investigation is warranted. An investigation is warranted if there is a reasonable basis for concluding that an allegation falls within the definition of research misconduct, and preliminary information gathering and preliminary fact-finding indicates that the allegation may have substance.

Investigation – This is the formal review of the allegation to determine whether research misconduct has occurred. It is done by members of an ad hoc investigation committee who have sufficient expertise in the subject matter under investigation.



If the respondent is found innocent of research misconduct, reasonable efforts to restore the respondent's reputation are made by the university as appropriate. A respondent who has been found guilty of research misconduct has the right to appeal in accordance with FSU's misconduct policy and procedures.

What are the consequences of research misconduct?

The consequences of research misconduct vary and may include:

- Withdrawal or correction of all pending and published papers and abstracts affected by the misconduct,
- Restitution of funds to the granting agency, and
- Monitoring of grant applications or ineligibility to apply for federal grants/contracts or serve on review panels for a number of years or permanently.
- Reprimand, removal from the project, rank and salary reduction, or dismissal from the university.

Who is investigated and held accountable for research misconduct?

All authors who are involved in the specific data or content of the material in question may be held accountable. This most often includes the primary author of the document in question, all other authors whose results are found culpable, and the principal investigator if the publication is a result of a sponsored research project.

How do I report suspected research misconduct?

FSU's Ethics and Compliance Hotline is a simple anonymous way to report activities that involve certain suspected misconduct or violations of FSU policies and procedures, regulations, or state and federal laws. To report a potential issue using the hotline, please call toll-free 855-231-7511 (24 hours a day, 365 days a year) or submit an online report at https://secure.ethicspoint.com/domain/media/en/gui/32441/index.html

Will there be any repercussions to me if I report research misconduct?

To protect those reporting a potential research misconduct violation, university policy prohibits retaliation against persons who, acting in good faith, provide information concerning alleged misconduct.

Confidentiality is maintained throughout the inquiry or investigation of the alleged research misconduct to the