

TEMPLE UNIVERSITY

POLICIES AND PROCEDURES MANUAL

Title: Policy on Addressing Allegations of Misconduct in Research and Creative Work

Policy Number: 02.54.01

Issuing Authority: The Executive Office of the President

Responsible Officer: Vice President for Research

Date Created: May 14, 2002

Date Last Amended/Reviewed: March 10, 2026

Date Scheduled for Review: March 2030

Reviewing Office: Vice President for Research

I. Scope of Policy

A. General Statement of Policy and Principles

Temple University upholds the highest standards of scientific rigor in research. The University is committed to fostering an environment that promotes integrity and the responsible and ethical conduct of research, discourages research misconduct, and deals promptly with allegations or information of possible research misconduct.

Every individual involved in research at Temple University is expected to conduct research with honesty, rigor and transparency in accordance with all applicable laws and regulations and are responsible for contributing to an organizational culture that establishes, maintains and promotes research integrity and the responsible and ethical conduct of research.

Temple University strives to reduce the risk of research misconduct, support all good-faith efforts to report suspected misconduct, promptly and thoroughly address all allegations of research misconduct, and seek to rectify the scientific record and/or restore researchers' reputations, as appropriate.

Research misconduct is contrary to the interests of Temple University, the integrity of research and the proper stewardship of funds. This Policy and related procedures will be implemented, maintained, made publicly available and followed when responding to allegations of research misconduct.

B. Applicability of Policy

This policy applies to all faculty members, employees, students and others who are involved with, or are working on, research or creative work on behalf of Temple University (University Personnel).

Regardless of funding source, allegations of potential research misconduct against University Personnel that are brought directly to the attention of Temple University will be handled according to this Policy and related procedures provided that they are related to:

1. Applications or proposals for support for research, research training, or activities related to that research or research training;
2. Activities related to research or research training programs;
3. Research records produced during research, research training, or activities related to that research or research training; and
4. Research proposed, performed, reviewed, or reported, as well as any research record and publication, generated from that research, regardless of whether an application or proposal resulted in an awarded grant, contract, cooperative agreement, subaward, or other form of support.

II. Definitions

This Policy outlines common definitions and provides the basis for general procedures applicable to the response of allegations of research misconduct. Additional procedures and or exceptions in compliance with different U.S. Government Agencies may be followed on a case-by-case basis as applicable and determined by the funding source(s) involved in an allegation.

- A. ***Accepted practices of the relevant research community*** means those practices established by applicable federal regulation, as well as commonly accepted professional codes or norms within the overarching community of researchers and institutions that apply for and receive research funding.
- B. ***Allegation*** means a disclosure of possible Research Misconduct through any means of communication and brought directly to the attention of an institutional official.
- C. ***Deciding Official (DO)*** is the institutional official who makes final determinations regarding allegations of research misconduct, institutional recommendations, and/or any corrective institutional actions. The same individual will not serve as both DO and Research Integrity Officer.
- D. ***Fabrication*** means making up data or results and recording or reporting them.
- E. ***Falsification*** means 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.
- F. ***Intentionally*** means to act with the aim of carrying out the act.
- G. ***Knowingly*** means to act with awareness of the act.
- H. ***Plagiarism*** means the appropriation of another person's ideas, processes, results, or words, without giving appropriate credit. Plagiarism includes the unattributed verbatim or nearly verbatim copying of sentences and paragraphs from another's work that materially misleads the reader regarding the contributions of the author. It does not include the limited use of

identical or nearly identical phrases that describe a commonly used methodology. Plagiarism does not include self-plagiarism or authorship or credit disputes, including disputes among former collaborators who participated jointly in the development or conduct of a research project. Self-plagiarism and authorship disputes do not meet the definition of research misconduct.

- I. ***Preponderance of the evidence*** means proof by evidence that, compared with evidence opposing it, leads to the conclusion that the fact at issue is more likely true than not.
- J. ***Recklessly*** means to propose, perform, or review research, or report research results, with indifference to a known risk of fabrication, falsification or plagiarism.
- K. ***Research*** means a systematic experiment, study, evaluation, demonstration, or survey design to develop or contribute to general research (basic research) or specific knowledge (applied research) by establishing, discovering, developing, elucidating, or confirming information in any field of scholarly study.
- L. ***Research Integrity Officer (RIO)*** refers to the institutional official responsible for administering the University's written policies and procedures for addressing allegations of research misconduct in compliance with applicable law and regulation.
- M. ***Research Misconduct*** means Fabrication, Falsification, or Plagiarism in proposing, performing, or reviewing research, or in reporting research results. Research Misconduct does not include honest error or differences of opinion, authorship or attribution of credit disputes, intellectual property (IP) disputes, or misuse of Temple University's funds, facilities, and resources. Improper conduct in research that falls under non-compliance with applicable rules and regulations will be referred to the appropriate review and oversight process as applicable.
- N. ***Research Misconduct Finding*** requires that:
 - 1. There be a significant departure from Accepted Practices of the Relevant Research Community; and
 - 2. The misconduct be committed Intentionally, Knowingly, or Recklessly; and
 - 3. The allegation be proven by a Preponderance of the Evidence.
- O. ***Research Misconduct Proceeding*** means any actions related to alleged Research Misconduct, taken under this policy, including allegation assessments, inquiries, and investigations.

III. **Policy**

A. **Responsibility to Report Misconduct**

Everyone subject to this policy is expected to promptly report observed, suspected, or apparent Research Misconduct to Temple University. Failure to report observed, suspected,

or apparent Research Misconduct may result in disciplinary action under applicable University policies.

B. Cooperation with Inquiries and Investigations

Every Temple faculty member, administrator, employee, student, or other person associated with Temple shall fully cooperate with the DO and other institutional officials or committees in reviewing allegations and in conducting inquiries and investigations.

C. Maintenance of Procedures

The Office for the Vice President for Research (OVPR) shall be responsible for the maintenance and administration of Procedures for Addressing Allegations of Misconduct in Research and Creative Work.

D. DO and RIO Designation

The President of the university shall designate a DO and a RIO in writing.

E. Policy Administration

OVPR, on behalf of the university, is responsible for administering the Research Misconduct Proceeding, which includes any actions taken under this policy related to alleged research misconduct and related procedures, including allegation assessments, inquiries, investigations, federal oversight reviews and any appeals to the federal agencies as prescribed under applicable policies.

F. Protect Against Retaliation

Temple University will take reasonable and practical steps to protect the positions and reputations of good-faith Complainants, Committee Members, Witnesses and to protect these individuals from retaliation by Respondent(s) and/or other institutional members.

G. Restoring Reputation

Temple University will make reasonable and practical efforts, if requested and as appropriate, to protect or restore the reputation of persons alleged to have engaged in Research Misconduct but against whom no Research Misconduct Finding is made.

IV. Imposition of University Sanctions

A determination of a violation of this policy may constitute adequate, or just, cause for disciplinary action up to and including dismissal. If applicable, sanctions imposed will be governed by the following processes:

1. Sanctions for violations of this policy by students will be governed by the disciplinary procedures applicable to charges of such misconduct under the Student Conduct Code Policy No. 03.70.12 (<http://policies.temple.edu/initial.asp>). Student (including former

students) sanctions can include, but are not limited to, probation, training, suspension, expulsion, and/or degree revocation.

2. Sanctions for violations of this policy by university employees, including faculty and staff members, will be governed by the disciplinary procedures in the university Rules of Conduct, Employee Manual, Faculty Handbook and/or applicable collective bargaining agreement. Sanctions for employees may include, but are not limited to, training, leave with/without pay, change in role and responsibilities, and/or termination of employment/tenure revocation.

V. Amendments to this Policy

Temple University retains the right to amend this policy (in part or whole) and associated procedures based on guidance and regulations provided by federal government agencies.

Notes

1. Dates of official enactment and amendments:

Approved by the Faculty Senate on March 21, 1991. Adopted by the Board of Trustees on May 12, 1992.

Amended and expanded by the Faculty Senate on March 21, 2002. Amendment and expansion approved by the Board of Trustees on May 14, 2002.

Updated in April 2021 to conform certain terminology and requirements to current PHS (42 CFR 93) and NSF (42 CFR 689) regulations.

Amendment approved by the Board of Trustees on April 13, 2021.

Revision approved by the Executive Committee of the Board on March 10, 2026.

2. History:

The May 14, 2002 amendment significantly expanded the existing policy. The 1992 version of the policy is on file in the Office of the University Policy Coordinator.

The 2021 update (i) replaced the term “Integrity Officer” with “Institutional Official” throughout the policy, and (ii) revised certain timeline requirements per applicable regulations.

The March 2026 update aligned with recent federal policy and best practices of other institutions, separated the policy from the procedural details, and moved responsibility for the policy from the Board to the President.

3. Cross References

Procedures for Addressing Allegations of Misconduct in Research and Creative Work