RE-KH
ALLEGATIONS OF RESEARCH MISCONDUCT

PURPOSE:

The purpose of this policy is to define research misconduct and delineate the procedures for reporting such including a description of the responsibilities of Kettering Health (KH) associates in addressing allegations of research misconduct.

DEFINITIONS:

Research Misconduct: Fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results.

Fabrication means making up data or results and recording or reporting them.

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.

Plagiarism means the appropriation of another person's ideas, processes, results, or words without giving appropriate credit. Research misconduct does not include honest errors or differences of opinion.

KH Associates: Persons who, at the time of the alleged research misconduct, were employed by, were agents of, or were affiliated by contract or agreement with KH.

Research Integrity Officer (RIO): The RIO, who is appointed by the KH Institutional Official, takes a leadership role in fostering an environment at KH that promotes the responsible conduct of research, promotes activities related to research training, and discourages research misconduct. The RIO is responsible for receiving allegations or evidence of possible research misconduct and initiating research misconduct proceedings.

Research Misconduct Proceedings: Research misconduct proceedings may include the following stages: 1) initial assessment of the allegation(s), 2) a preliminary inquiry to determine there is sufficient information to proceed by evaluating the evidence and interviewing individuals, and 3) a substantive investigation. When applicable, the results of research misconduct proceedings will be reported to appropriate federal agencies.

POLICY:

This policy, describing allegations of research misconduct and the associated procedures, are intended to carry out KH's responsibilities under the U.S. Public Health Service (PHS) Policies on Research Misconduct, 42 CFR Part 93.

Good faith allegations or evidence of possible research misconduct are to be reported promptly to the Research Integrity Officer (RIO) or the Research Integrity Network Director. A good faith allegation is an allegation made with the honest belief that research misconduct may have occurred. An allegation is not in good faith if it is made with reckless disregard for or willful ignorance of facts that would disprove the allegation.

Allegations of noncompliance are to be reported according to the KH policy RE-KH Human Research Noncompliance.

Reporting Responsibilities
All KH associates will report observed, suspected, or apparent research misconduct to the RIO. If an individual is unsure whether an incident falls within the definition of research misconduct, he or she may meet with or contact the RIO to discuss the suspected research misconduct informally, anonymously and/or hypothetically.

Responsibilities During Research Misconduct Proceedings
KH associates will cooperate with the RIO in all stages of a research misconduct proceeding. KH associates, including the individual against whom an allegation of research misconduct is directed, or the subject of a research misconduct proceeding, have an obligation to provide evidence and cooperate as requested with the proceedings.

KH associates who receive or learn of an allegation of research misconduct shall protect, to the maximum extent possible, the confidentiality of information regarding the individual(s) making the complaint, the subject(s) of a research misconduct proceeding and other affected individuals.

Retaliation against any individual involved in a research misconduct proceeding will be handled according to the KH policy CI-KH Non-Retaliation for Reporting Fraud, Waste and Abuse.

Every effort shall be made to conduct each research misconduct proceeding in a timely, objective, thorough, and competent manner, and to avoid bias and real or apparent conflicts of interest on the part of those involved in conducting the proceeding.

RE-KH ALLEGATIONS OF RESEARCH MISCONDUCT

SPONSORING DEPT:	Corporate Integrity and Research Integrity
DEPARTMENTS AFFECTED:	All KH Departments
DATE OF ORIGIN:	5/12 (Departmental policy from 10/95-5/12)
LAST REVIEWED:	
LAST REVISED:	2/15, 10/17, 12/2020
REPLACES:	
APPROVED BY:	Administrative Finance Council/Network Leadership Group (1/20/2021)
EFFECTIVE DATE:	1/20/2021