

Lifespan System-wide Policy

Subject:

Lifespan Policy on Research
Misconduct

File under:

CCPM-24

Issuing Department:

Research Administration
Lifespan

Latest Review Date:

August 2015
December 2012

Latest Revision date:

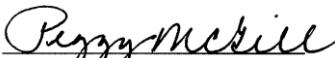
September 2009

Original Policy Date:

January 14, 1997

Page 1 of 3

Approved by:


Peggy McGill, MA, CRA
Administrative Director



Peter J. Snyder, Ph.D.
Senior Vice President and
Chief Research Officer

I. Purpose:

To establish procedures for dealing with, and reporting, possible misconduct in science.

II. Eligibility:

All Lifespan Employees and Lifespan affiliate employees, practice plan foundation employees, community physicians and affiliates involved in research, research training or research-related activities pursued at Lifespan or Lifespan affiliates or under the sponsorship of Lifespan or Lifespan affiliates.

III. Policy:

3.1 Introduction

It is the policy of Lifespan to foster a research environment that discourages misconduct in all research, research training or research-related activities pursued at Lifespan or under the sponsorship of Lifespan. It is the responsibility of employees to report potential misconduct to their supervisors, or responsible research officer, or the Corporate Compliance Officer.

Research Misconduct means fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results. It does not include honest error or honest difference in interpretation or judgment of data, or of regulatory and ethical standards.

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.

A finding of Research Misconduct made under this policy 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.

In the interest of protecting the reputation and privacy of those who may be involved, it is important that allegations be treated with confidentiality. In the event of allegations of such misconduct, it is the policy of Lifespan to initiate a preliminary inquiry into such allegations; to conclude an investigation, if warranted, and impose appropriate sanctions, if warranted; and, if appropriate, to report to the federal Office of Research Integrity (ORI), a component of the Office of the Director of the National Institutes for Health, or to the Office of the Inspector General (OIG) of the National Science Foundation. These actions will be undertaken in accordance with 42 CFR 50, Sec.50.101-105, and 45 CFT Part 689, with Lifespan's procedures and with due consideration to the rights and reputation of the accuser and accused.

Specific procedures may be found in the Lifespan Misconduct in Science Policy, ORA GEN 005. This policy should include:

- The responsible institutional official(s);
- Procedures for the inquiry phase;
- Procedures for the investigation phase;
- Steps taken to protect the rights and reputations of complainants and respondents;
- and reporting mechanisms and contact information.

IV. Procedure:

If a Lifespan Employee or a Lifespan Professional Staff member has a *question concerning the interpretation or applicability* to a particular circumstance of any of the laws or regulations referred to in this Policy, such Lifespan Employee or Lifespan Professional Staff member should first consult with his/her supervisor(s) and if his/her supervisor(s) is unable to answer the question or provide any guidance or, if, because of the circumstances, it would be inappropriate to discuss the matter with his/her supervisor(s), then such Lifespan Employee or Lifespan Professional Staff member should contact the Corporate Compliance Officer or the Office of the General Counsel for advice. If any Lifespan Employee or Lifespan Professional Staff member is aware of any violation or threatened or potential violation of this Policy, or *suspects* a violation of this Policy has occurred, such Lifespan Employee or Professional Staff member must refer to

Corporate Compliance Policy Manual
Lifespan Policy on Research Misconduct
September 2009

the Policy on Code of Conduct for instruction as to what action to take. No adverse action will be taken against any party who reports, in good faith, any violation or apparent or threatened violation.