



15.99.03
15.99.03.M1

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Research Misconduct Policy requirements



Establish Definitions



Outline procedures for reporting/investigating



Protect whistleblowers and those accused of misconduct



RIO

45 CFR

University Rule: 15.99.03.M1

Revisions are intended to:

- ❑ **align** the Rule with the System Regulation
- ❑ **reduce redundancies** between the System Regulation and the University Rule resulting in a shorter Rule (The System Regulation is much more detailed now); and
- ❑ allow for the appointment of a **Deputy RIO** by the VPR.

Name Change

OLD: 15.99.03

Ethics in Research, Scholarship and Creative Work

NEW: 15.99.03

Research Misconduct

Unchanged: Research Misconduct Defined

- Federal policies define research misconduct as fabrication, falsification, or plagiarism in proposing, performing, or reviewing research results:
 - Data Fabrication – **making up** data or results
 - Data Falsification – **manipulating** research materials, equipment, processes or changing data or results such that the research is not accurately represented in the research record.
 - Plagiarism – **appropriation** of another person's ideas, processes, results, or words without giving appropriate credit

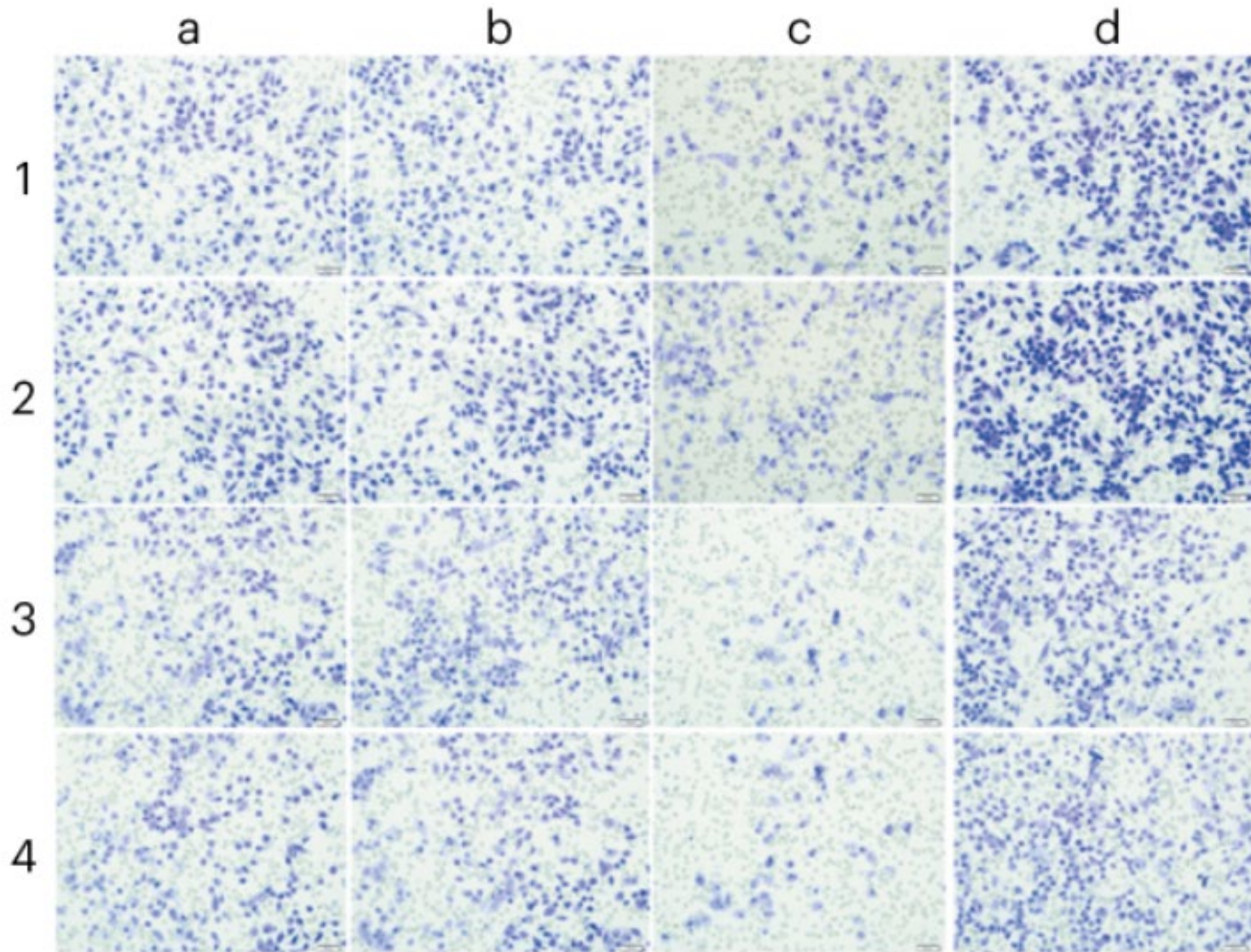
Proposing, performing, reviewing...

- A finding of research misconduct (yes/no) is not dependent on the **impact** of the act.
 - Proposing: lab meeting vs grant applications
 - Performing: research on beans vs human beings
 - Reviewing: conference vs grant application

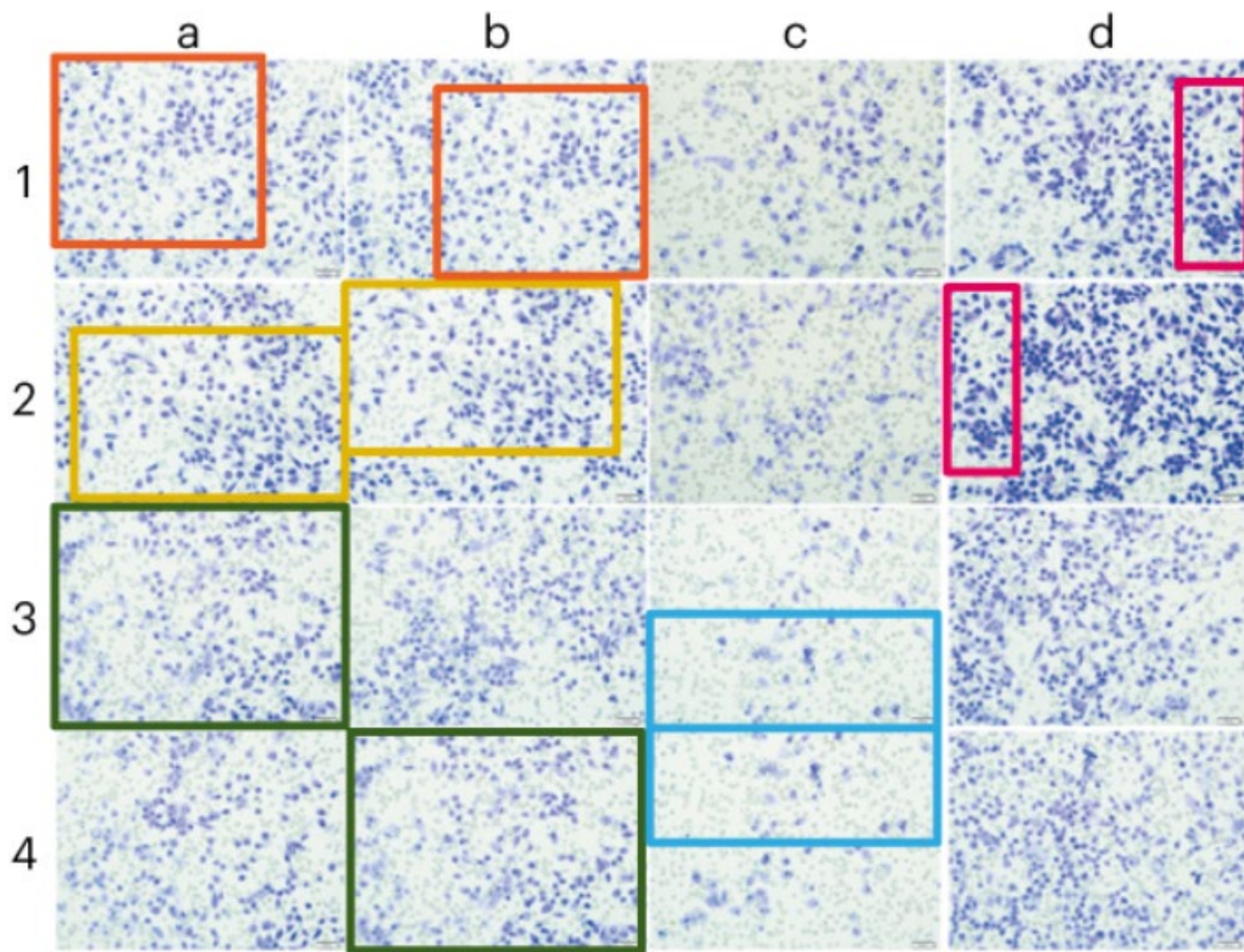
1. Fabrication (is a binary construct)

| Weeks | Treatment | Individual | pre-treatment | | | | | Post treatment | | | | |
|-------|-----------|------------|---------------|--------|--------|--------|--------|----------------|--------|--------|--------|--------|
| | | | Bold1 | Bold2 | Bold3 | Bold4 | Bold5 | Bold6 | Bold7 | Bold8 | Bold9 | Bold10 |
| 4 | Mixed | M_4_10 | 297.91 | 356.56 | 600 | 160.66 | 600 | 160.66 | 600 | 119.83 | 153.53 | 241.34 |
| 4 | Mixed | M_4_11 | 600 | 600 | 600 | 77.56 | 313.32 | 477.56 | 313.32 | 384.26 | 339.12 | 357.55 |
| 4 | Mixed | M_4_12 | 600 | 600 | 600 | 335.09 | 212.22 | 335.09 | 412.22 | 414.03 | 415.46 | 399.41 |
| 4 | Mixed | M_4_13 | 103.5 | 442.25 | 241.34 | 339.63 | 119.72 | 139.63 | 119.72 | 210.73 | 113.47 | 111.31 |
| 4 | Mixed | M_4_14 | 600 | 600 | 600 | 178.41 | 68.57 | 463.77 | 441.23 | 420.89 | 369.81 | 402.63 |
| 4 | Mixed | M_4_15 | 561.71 | 600 | 600 | 257.62 | 124.72 | 257.62 | 124.72 | 600 | 600 | 600 |
| 4 | Mixed | M_4_16 | 600 | 281.46 | 600 | 562.01 | 183.25 | 562.01 | 183.25 | 600 | 84.53 | 600 |
| 4 | Mixed | M_4_17 | 600 | 600 | 259.94 | 600 | 452.7 | 492.23 | 452.7 | 499.45 | 594.72 | 458.71 |
| 4 | Mixed | M_4_18 | 600 | 170.13 | 58.75 | 435.60 | 28.22 | 35.21 | 28.22 | 83.75 | 600 | 12.21 |
| 4 | Mixed | M_4_19 | 600 | 90.56 | 43.48 | 600 | 276.63 | 58.75 | 233.51 | 358.66 | 502.37 | 63.77 |
| 4 | Mixed | M_4_20 | 600 | 277.53 | 63.77 | 600 | 165.58 | 600 | 165.58 | 46.35 | 334.00 | 600 |
| 4 | Mixed | M_4_21 | 600 | 600 | 107.37 | 349.00 | 327.22 | 349.00 | 327.22 | 600 | 408.28 | 288.32 |
| 4 | Mixed | M_4_22 | 264.59 | 600 | 583.78 | 600 | 209.16 | 482.35 | 409.16 | 484.53 | 495.62 | 317.35 |
| 4 | Mixed | M_4_23 | 600 | 600 | 475.82 | 600 | 419.38 | 600 | 600 | 600 | 600 | 600 |
| 4 | Mixed | M_4_24 | 35.72 | 137.59 | 100.26 | 113.47 | 312.17 | 13.54 | 19.5 | 53.97 | 66.21 | 58.75 |
| 4 | Mixed | M_4_25 | 403.03 | 234.66 | 554.88 | 31.72 | 76.66 | 31.72 | 76.66 | 42.13 | 39.53 | 54.23 |
| 4 | Mixed | M_4_26 | 83.00 | 170.56 | 600 | 518.31 | 600 | 518.31 | 600 | 305.85 | 498.31 | 554.88 |
| 4 | Mixed | M_4_27 | 600 | 600 | 305.85 | 153.53 | 358.66 | 453.53 | 358.66 | 452.65 | 358.94 | 359.94 |
| 4 | Mixed | M_4_28 | 600 | 600 | 600 | 91.91 | 590.41 | 591.91 | 590.41 | 500.21 | 454.23 | 443.37 |
| 4 | Mixed | M_4_29 | 35.06 | 114.27 | 404.35 | 600 | 600 | 600 | 155.42 | 119.25 | 600 | 598.62 |
| 4 | Mixed | M_4_30 | 252.47 | 600 | 600 | 262.83 | 194.62 | 262.83 | 194.62 | 24.56 | 530.35 | 171.75 |
| 4 | Mixed | M_4_31 | 600 | 600 | 143.37 | 404.35 | 233.00 | 404.35 | 233.00 | 61.2 | 252.72 | 114.28 |
| 4 | Mixed | M_4_32 | 110.53 | 600 | 600 | 600 | 600 | 495.56 | 577.45 | 585.56 | 497.56 | 583.78 |
| 4 | Mixed | M_4_33 | 581.03 | 600 | 600 | 600 | 600 | 600 | 600 | 600 | 600 | 600 |
| 4 | Mixed | M_4_34 | 23.06 | 600 | 183.28 | 552.25 | 181.06 | 552.25 | 181.06 | 114.04 | 188.09 | 214.94 |
| 4 | Mixed | M_4_35 | 600 | 337.74 | 171.75 | 184.65 | 452.09 | 184.65 | 452.09 | 107.28 | 518.31 | 600 |

FF - IMAGE MANIPULATION



The image that Elisabeth Bik was asked to review.

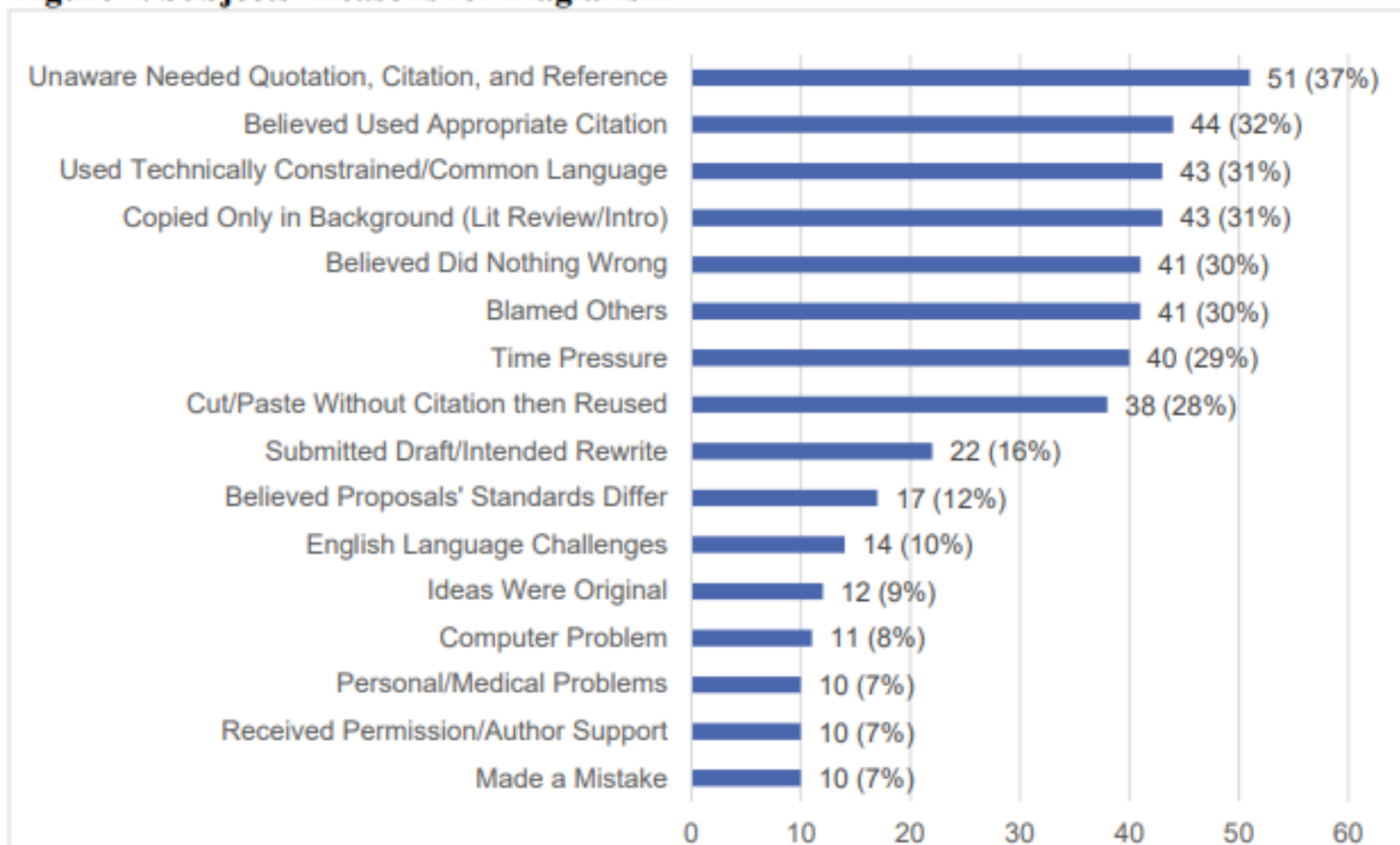


The coloured squares show the duplicated regions that Elisabeth Bik uncovered.

Plagiarism

- Does not include self-plagiarism
- Does not include authorship disputes

Figure 4. Subjects' Reasons for Plagiarism*



[Observations from NSF Plagiarism Investigations and Strategies to Prevent Plagiarism](#)

PREVENTION

- “Efforts to reduce and prevent misconduct, therefore, might be most effective if focused on **promoting research integrity policies, improving mentoring and training, and encouraging transparent communication amongst researchers**”



TEXAS A&M UNIVERSITY
Division of Research



PROCESS

Unchanged Roles

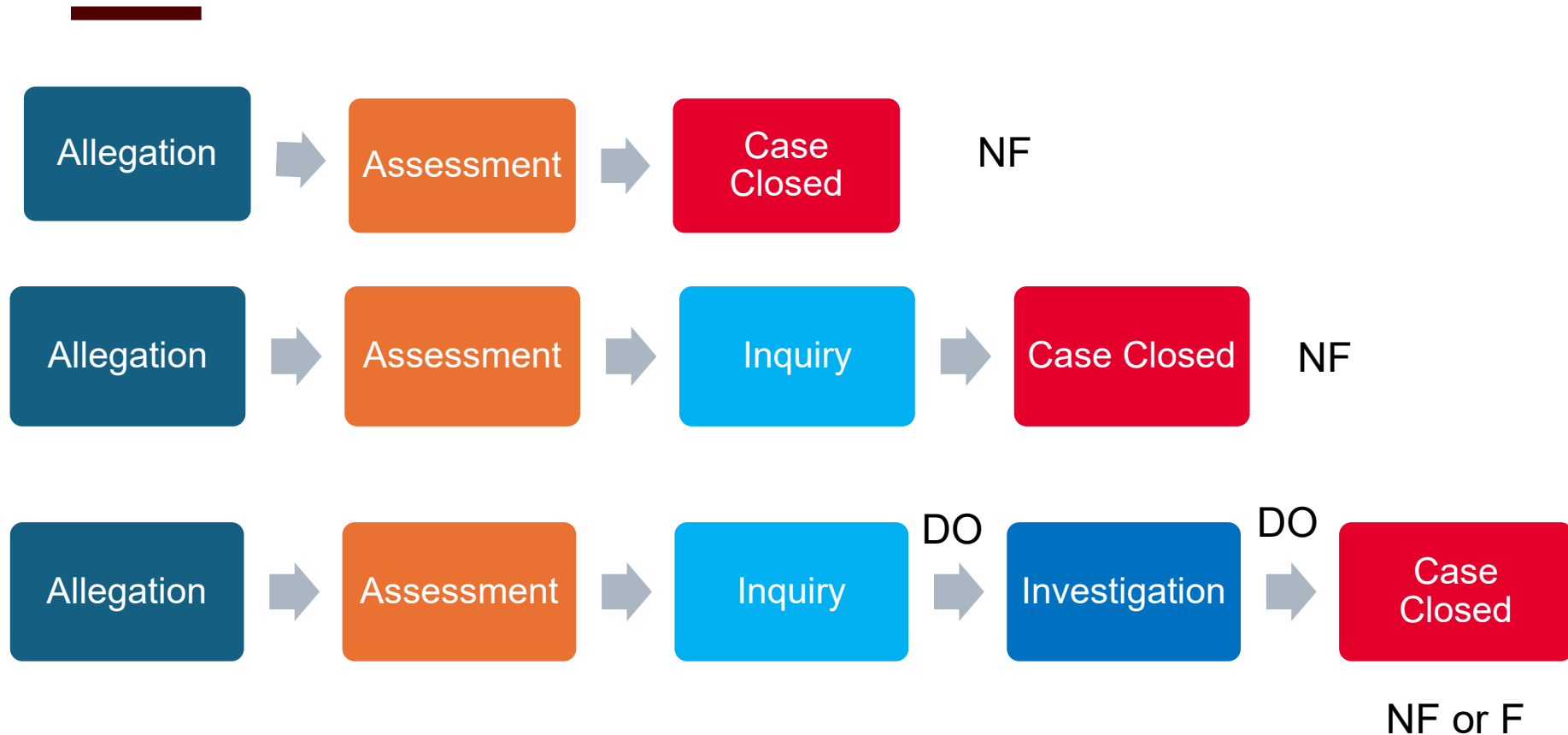
Research Integrity Officer (RIO): **TAMU** - VPR or their designee (faculty member)

- Central point of contact
- Implementation of policy/procedural integrity
- Assessment
- Notification/Sequestration
- Committee Management

Committees

- Minimum of 3 individuals, at least one with appropriate research expertise
- No COI
- Understanding of their charge
- Deciding Official (DO): **TAMU** - Provost

No Change to Possible Paths....



Minor adjustment to time to completion

ASSESSMENT: Unchanged

Is this allegation **credible, specific**, and, if true, does the alleged act **fall under the definition of research misconduct**?

- Complainant – intake
- Use of consultant

**NEW! Restricted application of policies
6-year window/subsequent use**

SEQUESTRATION: **Personal Devices**

- *Relevant Requirement Information:*
- See **TAMU SAP 29.01.03.M0.01 "Security of Electronic Information Resources"**: <https://rules-saps.tamu.edu/PDFs/29.01.03.M0.01.pdf>
 - 2.3 states that, "All university data maintained on information resources must be afforded the appropriate safeguards stated in TAC 202 and applicable University Rules, SAPs, and security controls (found in the Texas A&M Security Controls Catalog); as well as applicable federal and contractual requirements. It is the responsibility of the information resource owner, or designee, to ensure that adequate security measures are in place and that an annual risk assessment is performed."
- See **DC-5 (Confidential Data)**: <https://it.tamu.edu/policy/it-policy/controls-catalog/controls/DC/DC-5/>
- See **TAMU SAP 15.99.03.M1.03 "The Responsible Stewardship of Research Data"**: <https://rules-saps.tamu.edu/PDFs/15.99.03.M1.03.pdf>
 - "...2.1.1 Roles and responsibilities of the Office of the Vice President for Research in research data management include but are not limited to the following: ... ii. Providing administrative oversight for compliance that require special data access, retention and reporting provisions due to contract agreements or federal and state regulations. ... iv. Establishing procedures and controls for the protection of intellectual property rights and proprietary information as contractually committed;
 - "...3. OWNERSHIP "Unless precluded by a Texas A&M University contract agreeing to specific other terms, research data conducted on a Texas A&M University project belongs to Texas A&M University..."

Research Integrity – trust in research record

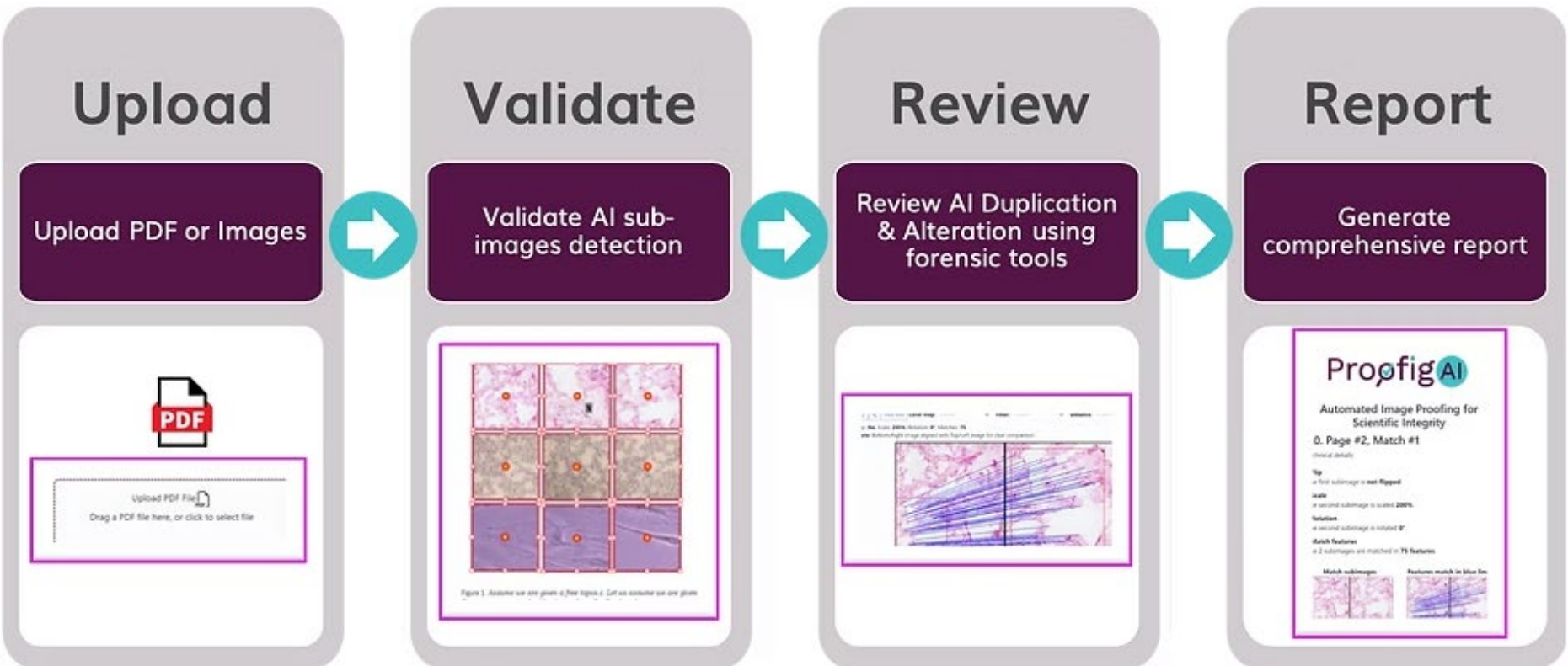
- EO 14303 Gold Standard Science
- EO 14332 Improving Oversight of Federal Grantmaking
- **NSF** Proposal and Award Policies and Procedures Guide (PAPPG):
 - “Research misconduct means fabrication, falsification, or plagiarism (whether committed by an individual directly or through the use of assistance of other persons, entities, ***or tools, including artificial intelligence (AI-based tools)*** ...”
- **NIH: NOT-OD-25-132** “Supporting Fairness and Originality in NIH Research Applications”
 - NIH will continue to employ the latest technology in detection of AI-generated content to identify AI generated applications
 - NIH will not consider applications that are either substantially developed by AI, or contain sections substantially developed by AI, to be original ideas of applicants....NIH may **refer the matter to the Office of Research Integrity** to determine whether there is research misconduct

Tools

- iThenticate
- Profig.ai - Rotations, flips, crops, duplications across papers...
- Imagetwin.ai - duplications across papers
- Photoshop
- Powerpoint (metadata)

Proofig.ai

The Four Stages of Proofig



Example

