POLICY STATEMENT
Capella University strives to promote a climate of honesty in research and is committed to fostering research that is both sound and ethical. Capella University expects that research will be conducted with integrity and individuals engaged in research will review this policy and otherwise make themselves aware of what constitutes ethical and responsible conduct in research. Capella University researchers, including employees, learners, and others engaged in academic research as part of their employment or educational responsibilities, are expected to refrain from research misconduct. Research misconduct is defined in this policy and may include falsification, fabrication, plagiarism, misappropriation, or other practices that deviate from those that are commonly accepted within the academic community for proposing, conducting, or reviewing research, or in reporting research results.

Research supervisors and others in positions of responsibility for the conduct of research activity are expected to exercise reasonable supervision of those under their direction to ensure the integrity of the research being conducted. Capella University employees and learners share the responsibility to promptly report any suspected research misconduct. The university assumes primary responsibility for investigating and resolving allegations of research misconduct made against its employees or learners.

The consequences of research misconduct may include but are not limited to non-acceptance of submitted coursework, failing grade on an assignment, lower grade in a course, failing grade in a course, written warning, loss of Institutional Review Board (IRB) approval, suspension from the university, removal from the program, administrative withdrawal or dismissal from the university, or cancellation of previously awarded course credits or degrees.

The university recognizes the importance of open debate regarding correct methodologies and protocols and that honest errors are an inevitable part of the research process.

RATIONALE
The Office of Research Integrity within the U.S. Department of Health and Human Services mandates that all institutions engaged in research funded by the Public Health Service have in place robust policies for mitigating and handling research misconduct. Although Capella is not mandated by law to implement such policies and procedures, best practices in research suggest the need for a research misconduct policy that is applicable to all researchers engaged in academic research at Capella University, whether learners, faculty, or staff.
DEFINITIONS

Academic Research
Academic research is defined as all research conducted by Capella University learners as part of their degree program requirements, except that which has been designated solely as courseroom research.

Allegation and Good Faith Allegation
An allegation includes any written or oral statement or other indication of possible research misconduct. A good faith allegation, otherwise referred to as an allegation in good faith, 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 or willful ignorance of facts that would disprove the allegation.

Conflict of Interest
A conflict of interest is a situation in which academic, financial, or other personal considerations or obligations have the potential, either actual or apparent, to directly and significantly compromise an individual’s or group’s professional judgment and objectivity in designing, conducting, reviewing, or reporting research.

Fabrication
Fabrication is the illegitimate construction of data or results and recording or reporting them.

Falsification
Falsification of data, research procedures, or data analysis can range from selective reporting, such as purposeful omission of conflicting data with the intent to falsify conclusions, to changing data or results such that the research is not accurately represented in the research record.

Honest Errors
Honest errors are occasional mistakes or oversights that occur during the research process. However, consistently careless research methods fall below the standard required of Capella researchers.

The following do not fall under the category of honest errors:

- Failing to retain significant research data
- Maintaining inadequate research records
- Using inappropriate data analysis or statistical methods
- Misrepresenting speculations as facts
- Committing gross negligence in research activities

Inquiry
An inquiry is information-gathering and initial fact finding to determine whether an allegation of research misconduct warrants an investigation.

Institutional Review Board (IRB)
An IRB is a committee established in accord with and for the purposes expressed in 45 CFR 46.
Investigation
Investigation is the formal examination and evaluation of all relevant facts to determine if an instance of research misconduct has occurred. If research misconduct is confirmed, the investigation should determine the seriousness of the offense and the extent of any adverse effects resulting from the misconduct.

Misappropriation
Misappropriation is the unauthorized use of another person’s personal or intellectual property, as well as unauthorized use of another person’s research ideas or proposals.

Plagiarism
Plagiarism is presenting someone else’s ideas or work as one’s own. Plagiarism also includes copying verbatim or rephrasing ideas without properly acknowledging the source by author, date, and publication medium. Learners must take great care, whether in a draft or final version of a paper or project, to distinguish their own ideas and language from information acquired from other sources. Sources include published primary and secondary materials, electronic media, unpublished materials, and information and ideas gained through other people.

Research Misconduct
Research misconduct includes but is not limited to falsification, fabrication, plagiarism, misappropriation, or other practices that deviate from those that are commonly accepted within the academic community for proposing, conducting, or reviewing research, or in reporting research results. Research misconduct does not include honest error or honest differences in interpretations or judgments of data. A finding of research misconduct requires all of the following:

• A significant departure from accepted practices of the research community
• Misconduct committed intentionally, knowingly, or recklessly
• An allegation proven by a preponderance of the evidence

“Intentionally” means intending the result of one’s actions to result in a prohibited act. “Knowingly” means being aware that one’s actions are nearly certain to result in the prohibited act. “Recklessly” means a conscious disregard of a substantial and unjustifiable risk that one’s action will result in the prohibited act.

Research Record
A research record is any data, document, computer file, computer drive, or any other written or non-written account or object that reasonably may be expected to provide evidence or information regarding the proposed, conducted, or reported research that constitutes the subject of an allegation of research misconduct.

Retaliation
Retaliation is any adverse action taken by the university or an employee of the university in retribution for a good faith allegation of research misconduct.
PROCEDURES

I. Research Misconduct Inquiry and Investigation Principles
   Research misconduct investigations are guided by the following principles:
   A. Confidentiality must be maintained to the extent possible. However, the university may
      be required to inform external organizations of certain actions, and anonymity cannot
      be guaranteed. Although the university limits, to the extent possible, disclosure of the
      complainant’s identity to those who need to know, the university cannot stop a
      respondent from learning a complainant’s identity by inference (e.g., if there are only a
      small number of people in a position to possess the knowledge necessary to make an
      allegation).
   B. Any conflicts of interest, real or potential, must be minimized.

II. Reporting Research Misconduct Allegations
   Any Capella University employees or individuals associated with the university may report
   observed or suspected incidents of research misconduct to a university-designated
   compliance specialist. Research misconduct allegations must be conducted in writing. The
   compliance specialist may craft a written research misconduct allegation based upon
   information received by any means.

   If the research involves human subjects, the compliance specialist will inform the
   Institutional Review Board (IRB) chair of the allegation. If the allegation involves a
   university employee, the compliance specialist will notify Human Resources. The
   university reserves the right to take interim administrative actions to protect the health and
   safety of research subjects, the interest of staff and colleagues, the integrity of research data
   and the research process, and university funds and equipment. All research activities must
   cease pending the results of the research misconduct investigation.

III. Resolution Process for Research Misconduct Allegations
   A. Inquiry into Allegation
      1. Purpose
         The purpose of the inquiry into the allegation is to assess whether the allegation
         constitutes a good faith allegation of research misconduct and whether additional
         investigation is needed based upon the information available during the initial
         inquiry.
      2. Notification of Respondent and Response
         The compliance specialist will notify the respondent of the allegation of research
         misconduct. The respondent will have seven calendar days to submit a response
         and any supporting materials.
      3. Evaluation of Respondent’s Response
         a. If the respondent admits to the research misconduct, the compliance specialist
            will prepare a report for the Research Compliance Committee (RCC) in order to
            determine corrective action or actions.
         b. If there is no indication of research misconduct, the compliance specialist will
            inform the respondent and close the case.
         c. If the compliance specialist determines there is a potential that research
            misconduct occurred and/or if the respondent contests the allegation, the
Research Misconduct Investigation Panel (RMIP) will be activated to investigate.

B. Investigation
1. If the RCC compliance specialist determines an investigation is warranted, the RMIP will be activated to investigate. The compliance specialist will facilitate the work of the panel but will not serve as a voting member.
2. The compliance specialist will notify the respondent of the activation of the RMIP and the names and positions of the panelists.
3. The RMIP will examine the material submitted to determine whether there is evidence that research misconduct has occurred. The respondent will be given the opportunity to present his or her position to the RMIP via telephone conference. The RMIP may also interview other individuals as part of the investigation.
4. Once the RMIP has concluded the investigation, the compliance specialist will prepare an investigation report. The respondent will receive a copy of the investigation report and will be allowed 14 calendar days to prepare written comments. The completed report along with the respondent’s comments will then be submitted to the RCC.

C. Resolution
1. The RCC will review the investigation report and respondent’s comments and make a recommendation concerning the final determination, including whether misconduct has occurred as well as any corrective actions or sanctions. The provost or designee will make the final determination after reviewing the recommendation of the RCC.
2. The provost or designee may at his or her discretion choose corrective/disciplinary action as warranted by the circumstances of each case. In the event that the provost or designee, as part of the remediation plan, decides that a dissertation must be withdrawn from publication, the compliance specialist will coordinate with the publishing entity to do so.
3. In the event that the provost or designee believes that a degree conferred by Capella should be revoked as a result of a research misconduct finding, the Capella University Board of Directors must review the case and vote whether to revoke the degree. The respondent will receive written notification of the final determination and any corrective/disciplinary action to be taken.
4. The RCC will determine whether law enforcement agencies, professional societies, professional licensing boards, editors of journals in which falsified reports may have been published, collaborators of the respondent in the work, or other relevant parties should be notified of the outcome of the case.

D. Appeal Process
1. If the respondent chooses to appeal the final determination, he or she must submit a formal, written appeal request to the university president or designee. The appeal request must be submitted via mail or email within 10 calendar days of the date the respondent was sent notification of the final determination.
2. The university president or designee will review the matter and issue a decision to the respondent.
3. The decision of the university president or designee is final.
4. A record of the final decision and all related materials will become part of the learner’s official academic record and upon request, will be made available to all Capella University boards and any appropriate regulatory bodies.

IV. Retaliation
   A. Retaliation constitutes prohibited conduct under this policy. A claim of retaliation against a university employee will be handled separately under Capella’s Human Resources policies.

V. Other Misconduct
   Misconduct that occurs within courseroom research projects will be handled in accordance with university policy 3.01.01 Academic Integrity and Honesty or other applicable university policies.

POLICY OWNERS
Academic Owner: Doctoral Affairs
Operations Owner: Doctoral Affairs

RELATED DOCUMENTS
University policy 3.01.01 Academic Integrity and Honesty
University Policy 3.03.02 Publication of Dissertations
University policy 3.03.05 Conflict of Interest in Research
University policy 4.02.02 Learner Code of Conduct
The Common Rule (45 CFR 46)
The Belmont Report
Declaration of Helsinki
Nuremburg Code

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