

15.99.03.H1 Research Misconduct



Approved: May 8, 2018
Revised: December 22, 2025
Next Scheduled Review: December 22, 2030

Rule Summary

The Texas A&M University-Textarkana (A&M- Textarkana) community, including students, staff, faculty, and administrators, share the responsibility to promote, develop, and maintain research policies and practices that encourage honesty and scientific integrity, and advance ethical research. The credibility of academic research depends on the appropriate design, conduct, documentation, and communication of research outcomes. This rule addresses the conduct of research misconduct proceedings and applies to both non-sponsored and sponsored research activities, regardless of the funding source, in accordance with The Texas A&M University System (System) Regulation 15.99.03, *Research Misconduct*.

Procedures and Responsibilities

1. GENERAL

- 1.1 This rule applies to any person paid by, under the control of, or affiliated with A&M-Textarkana at the time of the alleged misconduct, such as faculty, scientists, trainees, technicians, and other staff members, students, fellows, visiting researchers, or collaborators of A&M-Textarkana.
- 1.2 Allegations of research misconduct can be reported to the Research Integrity Officer (RIO) (see Section 2.b below) or other institutional official as per 15.99.03. This includes if an individual is unsure whether a suspected incident falls within the definition of research misconduct, since the RIO will conduct an assessment. All allegations of research misconduct are assessed to determine whether there is specific and credible information on which to act.

2. DUTIES OF THE DECIDING OFFICIAL, RESEARCH INTEGRITY OFFICER, AND INSTITUTIONAL CERTIFYING OFFICIAL

2.1 Deciding Official (DO)

The Provost and Senior Vice President for Academic Affairs is the institutional DO who makes final determinations on allegations of misconduct in research and any responsive institutional actions.

2.2 Research Integrity Officer (RIO)

The RIO will be the Vice Provost for Academic Affairs and Dean of Graduate & International Studies, and Chief Research Officer or their designee. The RIO must be a

tenured professor. The RIO has primary responsibility for implementation of this rule and for:

- (1) assessing allegations of research misconduct to determine if they fall within the definition of research misconduct, and warrant an inquiry on the basis that the allegation is sufficiently credible and specific so that potential evidence of research misconduct may be identified;
- (2) overseeing inquiries and investigations; and
- (3) the other responsibilities described in this rule and related procedure(s) and system regulation.

2.3 Institutional Certifying Official (ICO)

2.3.1 The ICO will be the Vice Provost for Academic Affairs and Dean of Graduate & International Studies, and Chief Research Officer or their designee and will recommend committee members for DO approval, documenting the reasons for any changes.

3. ASSESSMENT, INQUIRY AND INVESTIGATION

3.1 Initial Assessment

3.1.1 Upon receiving an allegation, the RIO will assess whether it is credible, meets the definition of research misconduct, and falls under institutional jurisdiction. If so, the RIO will initiate the inquiry and secure relevant research records. This will be completed in accordance with 15.99.03

3.2 Inquiry

3.2.1 The purpose of the inquiry is to conduct a preliminary review of evidence to determine whether the allegation warrants a full investigation. It is not a full examination of all evidence. All inquiries will be conducted according to Policy 15.99.03.

3.3 The RIO will appoint an Inquiry Committee with the expertise necessary to evaluate the allegation. Members must be free of conflicts of interest and maintain confidentiality.

3.4 The Inquiry Committee will:

3.4.1 Review available research records and evidence;

3.4.2 Interview the complainant, respondent, and others as needed; and

3.4.3 Determine whether the allegation has sufficient substance to proceed to investigation.

3.5 The Committee will prepare a written report that includes:

3.5.1 A summary of the allegation, evidence reviewed, and interviews conducted; and

3.5.2 A recommendation on whether a formal investigation is warranted.

3.6 The respondent will be provided an opportunity to review and comment on the report. The final report is then forwarded to the DO.

3.7 Investigation

- 3.7.1 The DO will determine whether to proceed to a formal investigation. If an investigation is warranted, it must begin within 30 calendar days of the inquiry's completion. If not, the case will be closed unless new evidence emerges.
- 3.8 The investigation determines whether research misconduct occurred, the extent of the misconduct, and the appropriate institutional actions. It involves a thorough examination of all relevant evidence.
- 3.9 If, during an ongoing investigation, additional individuals are identified as potential respondents, the RIO will conduct a separate inquiry for each newly identified respondent to determine whether an investigation is warranted; or
- 3.10 Prior to the beginning of any investigation, the RIO must notify the Chief Research Compliance Officer at the System as well as the Office of General Council, and each respondent must receive written notice of the allegations, rights, and procedures applicable to their individual case.
- 3.11 The RIO may coordinate overlapping investigative activities to ensure efficiency and consistency while maintaining procedural independence for each respondent.
- 3.12 Upon initiating the investigation, the RIO will appoint an Investigation Committee with appropriate subject-matter expertise. Members must be without conflicts of interest and must adhere to confidentiality requirements.
- 3.13 If a member of the investigation committee leaves the institution or becomes otherwise unavailable:
 - 3.13.1 The RIO will determine whether the remaining members provide adequate expertise to continue.
 - 3.13.2 If replacement is required, the RIO will recommend a new member to the DO for appointment.
- 3.14 If the institution lacks sufficient personnel with subject-matter expertise or without conflicts of interest, the RIO will:
 - 3.14.1 Identify and engage external qualified experts from another System member, peer institution, or recognized subject-matter consultant.
 - 3.14.2 Ensure all external members complete conflict of interest and confidentiality agreements prior to access to any case materials.
- 3.15 The Investigation Committee will:
 - 3.15.1 Examine all research records, documents, and material;
 - 3.15.2 Conduct interviews with the complainant, respondent, and key witnesses;
 - 3.15.3 Evaluate evidence using a preponderance of the evidence standard; and

- 3.15.4 Determine whether research misconduct occurred, and if so, whether it was intentional, knowing, or reckless.
- 3.16 The Investigation Committee will prepare a report that includes:
 - 3.16.1 The nature of the allegation and a description of the evidence reviewed;
 - 3.16.2 Applicable standards and definitions;
 - 3.16.3 Summaries of the interview conducted and findings for each allegation; and
 - 3.16.4 Recommendations for institutional actions, if misconduct is found.
- 3.17 The respondent will have an opportunity to comment on the draft report. The Committee will consider these comments before issuing a final report to the DO.

4. DECISIONS ON ALLEGATIONS OF RESEARCH MISCONDUCT BY THE DECIDING OFFICIAL

The DO is responsible for reviewing the investigation report, determining whether research misconduct occurred, and deciding on appropriate institutional actions. The decision must be in writing and include the details outlined in System Regulation *15.99.03, Research Misconduct*, section 6.

The DO's determination represents the institution's final internal decision on the allegation. If the DO's determination differs from the findings or recommendations of the investigation committee, the DO must:

- 4.1 Provide a written explanation clearly outlining the basis for the divergence;
- 4.2 Specify whether the decision is based on new evidence, procedural issues, or differences in interpretation of the record; and
- 4.3 Include the explanation as an appendix to the final institutional report.

Related Statutes, Policies, or Requirements

[System Regulation *15.99.03, Research Misconduct*](#)

[42 CFR, Part 93](#)

[42 CFR, Part 689](#)

[Federal Research Misconduct Policy \(OSTP\)](#)

Contact Office

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System Approvals*

Approved for Legal Sufficiency:

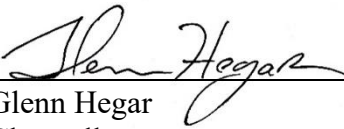


R. Brooks Moore
General Counsel

12/15/2025

Date

Approved:



Glenn Hegar
Chancellor

12/22/25

Date

***System approvals are contingent upon incorporation of any and all System-required changes in the rule's final posting.**