RESEARCH MISCONDUCT

1. PURPOSE AND SCOPE

At The Jackson Laboratory ("Laboratory") we are committed to the highest ethical and scientific standards in our research activities. This policy and attendant procedures (SLP.RES.003) establish standards and processes for addressing allegations of misconduct in research and reflect the Laboratory's compliance with applicable federal regulations, including 42 CFR Part 93. This Policy applies, regardless of funding source, to all individuals at the Laboratory engaged in research activities and includes all persons paid by, under the control of, or affiliated with the Laboratory, such as faculty, research and computational scientists, trainees, technicians and other staff members, students, fellows, visiting scientists, guest researchers, or collaborators at the Laboratory who engage in research and research activities. For any allegation received on or after January 1, 2026, involving PHS-supported research or research training the Laboratory will follow the revised Public Health Service Policies on Research Misconduct at 42 CFR Part 93 (2024). For allegations received before that date, the Laboratory will follow the applicable regulation consistent with 42 CFR §93.75The official version of this document is maintained by Compliance and available online through The Jackson Laboratory's internal website.

2.0 ADMINISTRATIVE CONTROLS

2.1 ACCOUNTABILITY AND SANCTIONS

You are expected to read and understand this Policy and Procedures, and to seek answers or clarification whenever needed. Instances of noncompliance or subversion of this Policy or Procedures may result in disciplinary action up to and including loss of facility and systems access privileges and termination of employment.

2.2 RESPONSIBILITY

INDIVIDUAL RESPONSIBILITIES: All Laboratory members engaged in research are expected to conduct research with honesty and integrity. All members of the Laboratory community share responsibility to report suspected research misconduct. For purposes of this policy, Research Misconduct is defined as: "fabrication, falsification, plagiarism in proposing, performing, or reviewing research, or in reporting research results." 42 C.F.R. § 93.103. It does not include honest errors or honest differences in interpretations or judgments of data. Allegations may be reported to the Research Integrity Officer ("RIO") or anonymously via JAX Listens (Ethics Point).

INSTITUTIONAL RESPONSIBILITIES: The Laboratory is responsible for creating a culture of excellence that maintains and promotes research trustworthiness and scientific integrity, this includes addressing allegations of research misconduct in a manner that is fair, impartial, and consistent with applicable regulations. The accompanying procedures (SLP.RES.003), are designed to protect the rights of the individuals and parties involved; provide a fair process, establish processes for appointing individuals and committees with relevant expertise to conduct assessments, inquiries, and investigations, as appropriate; sequester and preserve the integrity of research records; document proceedings; maintain confidentiality; protect the privacy of Complainants and Respondents; make reasonable and practical efforts to protect or restore the position and reputation of anyone unjustly accused and counter potential or actual retaliation against individuals involved in the investigation; and meet the notification and reporting requirements of sponsors.

2.3 EXCEPTIONS PROCEDURE

Circumstances in an individual case may dictate variation from procedure; significant departures require prior approval from the CSO.

3.0 POLICY STATEMENT

The Laboratory has a long history of making fundamental contributions to biomedical research and takes active steps to promote the responsible conduct of research. Consistent with federal regulations, 42 CFR Part 93, the Laboratory will respond to allegations of research misconduct through established procedures (SLP.RES.003). These procedures are designed to ascertain the truth and to protect the rights of individuals and the parties; and are intended to provide a framework for careful and thorough investigation of allegations in a variety of circumstances.

To the extent possible, the institution will limit disclosure of the identity of respondents, complainants, and witnesses; information shared will be limited to those with a demonstrated need to know during proceedings and maintained for research subject-identifiable records, consistent with law.

The Laboratory strictly prohibits retaliation against community members who in good faith report possible instances of Research Misconduct.

Allegations, concerns or questions regarding Research Misconduct or this policy or procedures should be directed to the Vice President for Research Administration who also serves as the Laboratory's Research Integrity Officer.

Concerns can also be reported anonymously through the JAX Listens program.

4.0 QUESTIONS/GUIDANCE

Questions about this policy should be directed to documentcontrol@jax.org or the person identified below as responsible for interpretation and administration of this Policy.

The Laboratory employee responsible for interpretation and administration of this Policy is the Senior Vice President for Research Administration.

5.0 DEFINITIONS AND ACRONYMS

- **Accepted practices of the relevant research community** means those practices established by 42 CFR part 93 and by PHS funding components, as well as commonly accepted professional codes or norms within the overarching community of researchers and institutions that apply for and receive PHS awards.
- **Allegation** means a disclosure of possible research misconduct through any means of communication and brought directly to the attention of an institutional or HHS official.
- **Complainant** means an individual who in good faith makes an allegation of research misconduct.
- **Evidence** means anything offered or obtained during a research misconduct proceeding that tends to prove or disprove the existence of an alleged fact. Evidence includes documents, whether in hard copy or electronic form, information, tangible items, and testimony.
- **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.
- **Good faith** as applied to a complainant or witness means having a reasonable belief in the truth of one's allegation or testimony, based on the information known to the complainant or witness at the time. An allegation or cooperation with a research misconduct proceeding is not in good faith if made with knowledge of or reckless disregard for information that would negate the allegation or testimony.
- **Good faith** as applied to an institutional or committee member means cooperating with the research misconduct proceeding by impartially carrying out the duties assigned for the purpose of helping an institution meet its responsibilities under this part. An institutional or committee member does not act in good faith if their acts or omissions during the research misconduct proceedings are dishonest or influenced by personal, professional, or financial conflicts of interest with those involved in the research misconduct proceeding.
- **Plagiarism** means the appropriation of another person's ideas, processes, results, or words, without giving appropriate credit.
    - Plagiarism does not include self-plagiarism or authorship or credit disputes, including disputes among former collaborators who participated jointly in the development or conduct of a research project. Self-plagiarism and authorship disputes do not meet the definition of research misconduct.
    - Plagiarism includes the unattributed verbatim or nearly verbatim copying of sentences and paragraphs from another's work that materially misleads the reader regarding the contributions of the author. It does not include the limited use of identical or nearly identical phrases that describe a commonly used methodology.
- **Preponderance of the evidence** means proof by evidence that, compared with evidence opposing it, leads to the conclusion that the fact at issue is more likely true than not.
- **Research Integrity Officer or RIO** refers to the institutional official responsible for administering the institution's written policies and procedures for addressing allegations of research misconduct in compliance with this part.
- **Research** means a systematic experiment, study, evaluation, demonstration, or survey designed to develop or contribute to general knowledge (basic research) or specific knowledge (applied research) by establishing, discovering, developing, elucidating, or confirming information or underlying mechanisms related to biological causes, functions, or effects; diseases; treatments; or related matters to be studied.
- **Research misconduct** means fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results. Research misconduct does not include honest error or differences of opinion.
- **Research record** means the record of data or results that embody the facts resulting from scientific inquiry. Data or results may be in physical or electronic form. Examples of items, materials, or information that may be considered part of the research record include, but are not limited to, research proposals, raw data, processed data, clinical research records, laboratory records, study records, laboratory notebooks, progress reports, manuscripts, abstracts, theses, records of oral presentations, online content, lab meeting reports, and journal articles.
- **Respondent** means the individual against whom an allegation of research misconduct is directed or who is the subject of a research misconduct proceeding.

- **Retaliation** means an adverse action taken against a complainant, witness, or committee member by an institution or one of its members in response to: (a) A good faith allegation of research misconduct; or(b) Good faith cooperation with a research misconduct proceeding.
- **To act intentionally** means to act with the aim of carrying out the act.
- **To act knowingly** means to act with awareness of the act.
- **To act recklessly** means to propose, perform, or review research, or report research results, with indifference to a known risk of fabrication, falsification, or plagiarism.

6.0 REGULATORY AUTHORITY, RELATED POLICIES, PROCEDURES, AND OTHER DOCUMENTS

Citation	Description
42 CFR Part 93	Public Health Service policies on research misconduct
https://ori.hhs.gov/FR_Doc_05-9643	Office of Research Integrity
SLP.RES.003	Reviewing complaints of research misconduct
JAX Listens program	