

# RESEARCH MISCONDUCT

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## 1. Purpose

This directive establishes Department of Homeland Security (DHS) policy regarding research misconduct.

## 2. Scope

This directive applies to all DHS organizational elements, and to all entities who apply for research-related grants or cooperative agreements in support of DHS activities.

## 3. Authorities

The Homeland Security Act of 2002, Section 306, subparagraph (C), codified in Title 6, U. S. Code.

## 4. Definitions

- A. **Research misconduct**: 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.
- B. **Fabrication**: Making up data or results and recording or reporting them.
- C. **Falsification**: 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.
- D. **Plagiarism**: The appropriation of another person's ideas, processes, results, or words without giving appropriate credit.

## 5. Responsibilities

- A. The **Office of Inspector General**: shall oversee investigations of research misconduct and conducts any inquiries and investigations into suspected or alleged research misconduct involving DHS staff.
- B. **Institutions performing research with DHS funds**: shall establish policies and procedures for investigating and reporting instances of alleged or apparent misconduct.

## 6. Policy & Procedures

- A. Until DHS establishes formal, permanent policy addressing this topic, DHS shall adhere to the government-wide policy developed by the National Science and Technology Council on behalf of the Office of Science and Technology Policy and issued on December 6, 2000. The Council's policy establishes the responsibilities, basic guidelines, and potential actions associated with alleged or suspected infractions.
- B. DHS will find research misconduct only after careful inquiry and investigation by an awardee institution, by another Federal agency, or by DHS.
- C. DHS will take appropriate action against individuals or institutions upon a finding that research misconduct has occurred.
- D. Investigative and adjudicative research misconduct records maintained by DHS agency are exempt from public disclosure under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a) to the extent permitted by law and regulation.
- E. Any questions or concerns regarding this directive should be addressed to the Office of the Inspector General.