

Chapter 9

Faculty Development, Grants, and Sponsored Research

Section I. Policies and Procedures of the Towson University Faculty Development and Research Committee

A. Research Grants

Research is defined as "diligent and systematic inquiry or investigation into a subject in order to discover or revise fact, theories, applications, etc." Monetary awards and assigned time awards for purposes other than research-no matter how worthy the endeavor or project-cannot be awarded as faculty research grants.

B. Qualifications for a Faculty Research Grant

1. The committee shall make grants (not normally to exceed \$2400 and/or 3 hours assigned time) for the following purposes:
 - a. Any research activity by a faculty member in which he/she acts as the primary investigator and not just as supervisor of studies, and which is expected to lead to a scholarly publication, performance, or exhibit.
 - b. Purchase of reference books, supplies, and equipment not now available on campus and necessary for carrying out the research project. All such items shall, upon completion of the project, be assigned to the University in a manner to be determined by the committee at the time of the approval of the grant.
 - c. Travel of the researcher relevant to obtaining data for the approved research project. Fundable travel expenses include meals and lodging up to the daily maximum allowable by State regulations, but for no more than ten (10) days, and transportation. Foreign travel will be funded only up to two-thirds of the transportation costs.
 - d. Regular part-time faculty members are eligible to apply for FDRC research grants. Temporary part-time faculty members are not eligible. Full-time visiting faculty are eligible during the term of their contract.

- e. In years in which the funding is available, the FDRC gives a number of Summer Research Stipends to release faculty members from the necessity of teaching a summer course in order to permit them to conduct/continue research.
- 2. The committee shall not make research grants for any of the following purposes:
 - a. Normal course development projects or study guides.
 - b. Any expenses related to the preparation or completion of a thesis or dissertation.
 - c. Purchase of books authored or edited by the faculty member for distribution to colleagues or to other institutions.
 - d. Student projects, particularly those involving academic credits and dissertation and/or thesis research.
 - e. Any project primarily for monetary gain, as determined by the committee. If the project should result in monetary gain, the first royalties amounting to the total of the grant must be returned to the University.

C. Procedure

- 1. Deadlines for submission of applications for grants will normally be the second Friday of the fall and spring semesters. Summer stipend applications should be submitted under the spring deadline.
- 2. Application forms will be available on the web under the Office of University Research Services and in all chairpersons' offices prior to announced deadlines.
- 3. No applications will be accepted after the stated deadline date and time.
- 4. Applications which do not follow the prescribed format and procedures and/or which exceed the requested length may be disqualified at the committee's discretion.
- 5. If the project involves any use of human participants (including by way of survey or questionnaire), the committee will consider the application only if application for approval from the Institutional

Review Board for the Protection of Human Participants has been made by the time the research application is submitted. The Review Board requires that plans for the use of human participants include procedures for obtaining the informed consent of all participants, for maintaining the security of data, and for assuring the anonymity of subjects in the reporting of the data.

For information concerning Review Board procedure, see "Towson University Policy on Protection of Human Participants in Research Conducted by or with Faculty, Staff, and Students."

6. If the project involves any use of vertebrate animal subjects, the committee will consider the application only if application for approval from the Institutional Animal Care and Use Committee has been made by the time the research application is submitted.
7. Where services are to be funded as part of the grant, the applicant should itemize the services and specify for each type of service the cost per hour or other cost basis.

D. Responsibilities of Faculty Members Receiving Faculty Research Grants

1. All persons receiving grants must signify their intent to accept, spend, and account for funds granted within two semesters; they do so by signing and returning the letter of acknowledgment to the committee within ten days after being notified of their award. If the committee receives no acknowledgment within that time, the funds will be reallocated to other applicants.
2. The researcher is responsible for implementing the research project as approved by the committee. Any changes in design or methodology must be approved by the committee. Prior approval must be obtained through the chairperson of the committee.
3. In order for research purchases to be exempt from state sales taxes and for the user to be eligible for any educational/institutional discount, the University allows its name to be used for billing purposes. However, all invoices must be clearly identified as research projects and by whom the purchase was made. Invoices may be mailed to the Accounts Payable Department; they will then be forwarded to the grant recipient for payment. When required or convenient, purchases should be made through the University Procurement office.
4. Recipients of research grants, assigned time grants, or Summer Research Stipends must, in any publication resulting from the

Project, acknowledge the support of the Faculty Development and Research Committee of Towson University.

5. Faculty members who receive an assigned time grant may not teach off-load courses or engage in other outside work equivalent to teaching one off-load course in addition to their regular teaching load.
6. Recipients of Summer Research Stipends may teach two summer courses of no more than eight credit hours at Towson University or elsewhere during the summer for which the stipend was granted.
7. An accounting must be made to the committee of all expenditures made under a given grant. This may be done upon completion of the project, but must be submitted no later than the date stipulated in the letter awarding the grant. A form for this purpose (Fiscal Report Form) is provided by the committee.
8. Since Summer Research Stipends are meant to replace foregone summer teaching salary, no fiscal report is required. However, recipients of Summer Research Stipends must submit a written report (see below) by the end of the fall semester following the summer for which the stipend was received.
9. A written report of the results of the research and one copy of the scholarly product (to be) published must be submitted to the committee along with the completed Fiscal Report Form. If the product has not yet been published, a copy of the typescript should be submitted with the written report, and a copy of the published work should be submitted as soon as it is available. After the committee has completed its review of the written report, the copy of the published work will be sent to the University archives. (Note: Where the scholarly product is a performance or exhibit, the research should submit the printed program or other such documents as the "published work.") If the researcher fails to submit an acceptable written report, no further grants will be made by the committee to that person until all reports are current.

Approved by the University Senate, October 7, 1990

<http://www.towson.edu/about/administration/senate/committees/development.html>

Section II. Office of Sponsored Programs and Research

<http://www.towson.edu/academics/research/sponsored/>

- Section III. Policy on Solicitation and Acceptance of Sponsored Projects (USM IV-2.00)**
<http://www.usmd.edu/regents/bylaws/SectionIV/IV200.html>
- Section IV. Office of Sponsored Programs and Research - Grant Management Guidelines**
<https://www.towson.edu/academics/research/sponsored/grants/index.html>
<https://www.towson.edu/academics/research/sponsored/grants/policies.html>
- Section V. Policy on Human Subjects of Research (USM IV-2.10)**
<http://www.usmd.edu/regents/bylaws/SectionIV/IV210.pdf>
- Section VI. Policy on Patents (USM IV-3.00)**
<http://www.usmd.edu/regents/bylaws/SectionIV/IV300.pdf>
- Section VII. Towson University Policy on Intellectual Property (TU 04-03.20)**
<https://www.towson.edu/about/administration/policies/04-03-20-policy-intellectual-property.html>
- Section VIII. Procedures on Conflict of Interest for Faculty Interest in Sponsored Research or Development (TU 03-01.11)**
<https://www.towson.edu/about/administration/policies/03-01-11-policy-conflict-interest-research-development.html>
- Section IX. Policy on Misconduct in Scholarly Work (USM 111-1.10)**
<http://www.usmd.edu/regents/bylaws/SectionIII/111110.pdf>
- Section X. Towson University Policies and Procedures for Inquiries and Investigations Concerning Allegations of Scholarly Misconduct**

A. USM Policy:

<http://www.usmd.edu/regents/bylaws/SectionIII/111110.html>

B. Towson University Policies and Procedures for Inquiries and Investigations Concerning Allegations of Scholarly Misconduct:

1. Preamble

Towson University continues to commit itself to the highest standards of integrity in scholarly endeavors, to prevent misconduct where possible, and promptly and fairly to evaluate and resolve cases of alleged or apparent misconduct. The overall philosophy regarding both scholarly integrity and scholarly misconduct is based on the policy of the University System of Maryland Board of Regents (1988),

The purpose of this document are: (1) to outline the policies and procedures to be used in dealing with allegations of scholarly misconduct; (2) to specify the rights and responsibilities of both the accuser and respondent during this process; (3) to identify the sanctions which may be applied in the event of a positive finding of misconduct; (4) to outline the options that exist if an accusation of misconduct is unfounded.

The implementation of these policies and procedures will be paralleled by an effort to increase the awareness of the University community with respect to ethical issues associated with scholarly activity, and to conduct an annual review of procedures and practices that promote integrity in scholarly efforts, as well as those practices that may inadvertently provide incentives for misconduct.

The current document exists only for those rare instances where there is a failure to meet universally accepted ethical standards.

2. Introduction and Definitions

All members of the University community share responsibility for developing and maintaining standards for the ethical conduct of scholarly activities and for the detection of abuse of these standards. Primary responsibility for the integrity of scholarly efforts rests with the principal investigator in the case of faculty research. Responsibility for joint faculty and undergraduate or graduate research project is shared by the student and the principal faculty advisor. Towson University considers any demonstrated incident of scholarly misconduct to be a breach of contract, whether stated or implied, and it will apply whatever sanctions are warranted by the particular form of misconduct.

Scholarly misconduct refers to inappropriate behavior related to the conduct of research or other scholarly and artistic efforts. The definitions, policies, and procedures described here are not designed for all violations of academic ethics. For example, the misconduct of

students during examinations and acts of discrimination based on race, gender, age or religion are not addressed as they are covered by other University policies.

Misconduct in scholarly efforts can take many forms, and is generally defined as a serious deviation from accepted standards and practices in proposing, conducting, or in reporting the results of scholarly activity; however the major categories are defined in the following list, which is not exhaustive.

a. Fraud

Fabrication, falsification, and knowing misrepresentation of one's own work or the work of others.

b. Improper authorship

This category includes plagiarism; improper assignment of credit (e.g., excluding others who have made a significant contribution); claiming the work of another as one's own; submission of multi-authored works without the concurrence of all authors, which includes such aspects as the order of authorship and the number of authors.

c. Violation of accepted research practices

Including willful, improper manipulation of experiments to obtain desired results, or omission of data or other information, which would contradict or alter the conclusions of the study.

d. Violation of federal, state, or institutional rules governing research
Including, but not limited to those regarding misuse or misappropriation of funds

(from either intramural or extramural sources), care of animals, human subjects, controlled substances, hazardous biological, radioactive, or criminal materials.

e. Inappropriate behavior in relation to misconduct

Including failure to report known misconduct or failure to report evidence of misconduct or circumstances indicating misconduct; withholding or destroying data and/or other information related to alleged misconduct; retaliation against individuals reporting or investigating misconduct; knowingly filing a false allegation of misconduct.

f. Abuse of confidentiality

Including improper use of information or influence gained by privileged access such as service on peer review panels, editorial boards, etc.; improper use of personal information gained in the course of research using human subjects.

g. Misuse of funds

The misappropriation of funds or resources. For example, the misuse of funds for personal gain.

3. Procedures for Reporting and Investigating Allegations of Scholarly Misconduct

The procedures, which follow, are intended to promote due process and ensure the affected individuals a timely, fair, and confidential review of any allegation of misconduct. Towards this end, the process will have two phases:

- An inquiry to determine the facts associated with the allegation of misconduct;
- An investigation to establish the veracity of the charges and to recommend appropriate sanctions.

If at any time during the inquiry or investigation phases it appears fairly certain that the alleged misconduct might create a health or safety hazard, or involves state or federal equipment or funds, or affects human or animal subjects, or a need to protect the interests of the person(s) making the allegation or of the individual who is the subject of the investigation and any associates, the president of the University shall take steps to prevent such abuse, pending the outcome of this process

If, and only if, any of the conditions in the previous paragraph apply, or it is probable that the alleged incident will be made public, or there is a reasonable indication of a possible criminal violation, the president of the University must notify the University System of Maryland Board of Regents. Also, if the research is federally funded, the Dean of the College of Graduate Studies and Research and Associate Vice President for Research in coordination with the Director of the Office of University Research Services will comply with all pertinent federal regulations regarding the notification of the appropriate offices of the federal agency.

If the alleged misconduct involves the performance of scholarly work supported by an external sponsor, the institution, where required, must inform the sponsor when an investigation is initiated. The notification should provide sufficient information to satisfy the University's obligation to the sponsor, but in the interests of protecting reputations that might be damaged unjustly, a detailed report may await the conclusion of the investigation.

a. Reporting an allegation

A person with knowledge of scholarly misconduct must report the allegation in writing to the dean of the College of Graduate Studies and Research and Associate Vice President for Research. Oral reports to either others or the dean of the College of Graduate and Research and Associate Vice President for Research will not be considered formal allegations.

The Dean of the College of Graduate Studies and Research and Associate Vice President for Research will communicate quickly the initial allegation of misconduct to the immediate supervisor of the individual charged with misconduct. The supervisor will undertake a limited inquiry to determine whether the allegation appears to be well founded, and report back to the Dean of the College of Graduate Studies and Research and Associate Vice President for Research.

Unless the Dean of the College of Graduate Studies and Research and Associate Vice President for Research determines that the allegation is frivolous, the Dean of the College of Graduate Studies and Research and Associate Vice President for Research will immediately notify the dean of the college associated with the individual, the provost, and the president. The Dean of the College of Graduate Studies and Research and Associate Vice President for Research will send written notification to the individual suspected of misconduct when the charge has been formalized. The Dean of the College of Graduate Studies and Research and Vice President for Research will then convene the Committee of Inquiry.

b. The inquiry

The Committee of Inquiry will be composed of five faculty from the current membership of the Faculty Hearing Committee, with up to three additional members, if the committee requires additional expertise to judge the details of the allegation, all of whom will be appointed by the president of the University (or his

designee). The members of the Committee of Inquiry must be persons who have no direct professional or personal involvement with either the complainant or the respondent.

The Dean of the College of Graduate Studies and Research and Associate Vice President for Research will convene the Committee of Inquiry within fifteen days after receiving the formal allegation of misconduct. The committee will operate in a manner that will maintain confidentiality regarding the allegation to the degree compatible with accomplishing the purposes of the Inquiry.

The Committee of Inquiry shall seek sufficient facts to establish the need for convening a formal Investigation of the alleged misconduct. This judgment will be rendered as expeditiously as possible, and a final report should be submitted to the Dean of the College of Graduate Studies and Research and Associate Vice President for Research within 30 days of the appointment of the Committee of Inquiry.

The Inquiry is informal, brief, and intended only as a fact-finding process. Principal parties may confer with legal counsel at this stage, but they must speak for themselves. This process does not have the jurisdiction of a court of law and it should not emulate the style of a court. The respondent must comply with all requests for information from the Committee of Inquiry. The complainant and respondent may present information, expert opinions, records, and other pertinent data, and the Committee may request documents necessary to complete their work. All parties must receive timely copies of all documents submitted by any of the principals.

The conclusions of the Committee of Inquiry will be conveyed in writing to the respondent, the complainant, the immediate supervisor, the appropriate dean, the Dean of the College of Graduate Studies and Research and Associate Vice President for Research, the provost, and the president, within 45 days of receipt of the allegation. The report will state what evidence was reviewed, summarize relevant interviews, and include the conclusions of the inquiry. If the respondent comments on the report, the comments must be included in the records.

If the outcome of the Inquiry indicates that there are no grounds for a formal Investigation, all of the parties involved will be notified, and efforts will be made to ensure that the individuals involved are cleared of any unsupported allegations. If the

committee finds that the initial allegation was malicious, sanctions against the complainant will be recommended.

Records of the Committee of Inquiry are confidential and are to be kept secure by the Dean of the College of Graduate Studies and Research and Associate Vice President for Research. They will be maintained in a secure manner for a period of at least five years after termination of the Inquiry, and shall, upon request, be provided to authorize federal funding agencies.

Finally, the Investigation will be conducted and completed regardless of whether the respondent or the complainant severs any formal ties to the University before the conclusion of the investigation.

c. The investigation

The Committee of Investigation will consist of five members of the Faculty Hearing Committee, and at least one individual who is not primarily associated with the University. In order to provide necessary expertise, or to avoid conflicts of interest based on relationship with either the complainant or respondent, membership may be supplemented by individuals with no formal ties to the University, but the committee may not be composed of a majority of such individuals. Furthermore, no member of the Committee of Inquiry may serve as a member of the Committee of Investigation. All members of the committee will be appointed by the president of the University (or his designee). The Committee of Investigation will be formed within 15 days of the finding by the Committee of Inquiry that an Investigation is warranted.

The Committee of Investigation shall hold hearings. It will be authorized to collect and consider all of the evidence the committee deems relevant to the allegation; this includes obtaining any expert opinions necessary to reach firm conclusions.

It may seek the opinions of external experts if this is necessary in order to avoid conflicts of interest. The Investigation must be thorough. It must obtain sufficient information to reach a firm conclusion about the validity of the allegation, or to be certain that additional information would not alter an inconclusive result.

Hearings are confidential and may be closed to all but the principals at the request of either the complainant or the respondent. Principal parties may confer with legal counsel, but they must speak for themselves. The hearings will not have the

Jurisdiction or procedures of a court of law. All parties will receive written notification of hearing dates and be provided copies of all documents at least 10 days in advance of scheduled meetings. A record of all proceedings will be maintained by the Dean of the College of Graduate Studies and Research. The committee is required to file its final report to the dean within 120 days of being convened.

d. Sanctions

The Committee of Investigation is also charged with recommending specific actions appropriate to its findings. These recommendations should address actions to restore damaged reputations, and should identify appropriate retractions, disclaimers, and announcements necessary to correct the record. The committee may recommend additional actions if misconduct is confirmed. The president of the University, acting on behalf of the University, will take all actions appropriate in view of the findings.

If misconduct is not confirmed, the respondent must be notified promptly, and the president of the University must consider whether a public announcement will be harmful or beneficial in restoring reputations that have been damaged. Ultimately, such a decision should rely heavily upon the preferences of individual who has been acquitted. The president must take disciplinary action if the initial allegation is found to be malicious. Finally, the president may find it necessary to reprimand lax supervision, faulty techniques, or questionable judgment, even when willful misconduct has not been established.

Sanctions must be appropriate to the seriousness of substantiated scholarly misconduct, and will include those mandated by applicable state and/or federal regulations. In addition to the retraction of published scholarly works or the identification of improperly produced artistic efforts, the sanctions may include demotions in faculty rank and reductions in salary, if promotion and salary increases were a direct result of the efforts in question. The individual can be declared ineligible to receive intramural and extramural funding for a specified period. Any awards or degrees that were a direct result of the scholarly effort will be revoked. The dismissal of a faculty member or student from the University is included in the list of possible sanctions.

After all appeals have been exhausted, the president will communicate the determination of a case of substantiated misconduct to those persons who have a need to know, which will

include the respondent, the complainant, appropriate University officials and sponsoring agencies, the editors of journals where fraudulent results have been published, and academic institutions or other scholarly organizations with whom the respondent was affiliated during the period of substantiated misconduct.

In appropriate cases, where public funds were used in the direct support of the scholarly activity, certain information may be released to the press upon receipt of the sanctions to the Board of Regents. If required by federal regulations, these results may also be communicated to prospective employers.

e. Appeals

Individuals may appeal the judgment of a Committee of Investigation and/or the sanctions applied. A written statement which details the grounds for appeal must be submitted to the president within 30 days of formal, written notification of the findings of the Committee of Investigation. Grounds for appeal include new, unconsidered evidence, failure in due process in the investigative process, or personal and/or professional conflicts of interest among those involved in the investigation.

Upon receipt of the written appeal, the president or his designee will evaluate the evidence for the appeal. The president may, but is not required to, order a complete or partial investigation based on the appeal. The president's decision is binding on all parties, and will be conveyed to them in a timely fashion.

Approved by the University Senate, May 14, 1990