

University of Houston College of Pharmacy Research Trainee Code of Professional Integrity

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Objective Statement

The *Research Trainee Code of Professional Integrity* emphasizes the College of Pharmacy's commitment to promoting opportunities for trainees to attain their educational objectives and goals, to build an intellectual environment to generate creativity and innovation, all while protecting the health, safety, welfare, property, and human rights of all members of the College.

This *Code of Professional Integrity* applies to all trainees engaged in research activities including graduate students, professional students (i.e., Pharm.D., M.D., etc.), postdoctoral fellows, postbaccalaureate students, and undergraduate student trainees. All trainees need to adhere to these policies.

All graduate programs at the College of Pharmacy will follow the University of Houston policies and procedures regarding the student code of conduct. General expectations and policies of student behavior can be found in the University of Houston's "[Student Code of Conduct](#)". Any trainees who are University of Houston employees that are not also students (i.e., postdoctoral fellows) are expected to comply with the University of Houston's "[Ethical Conduct of Employees](#)".

College of Pharmacy Academic Honesty Policy

All graduate programs at the College of Pharmacy will follow the University of Houston policies and procedures regarding academic honesty. General expectations and policy of ethical standards and integrity can be found in the University of Houston's "[Academic Honesty Policy](#)". Standards of academic honesty and professional integrity are intuitively understood and cannot be listed exhaustively. However, guidance in these matters is listed below and is designed to handle these cases in fairness to all concerned. This policy applies to those acts of dishonesty committed by a student while enrolled at the University of Houston within the College of Pharmacy.

The sections below highlight the means of reporting an alleged violation(s), and the proceedings that follow. Definitions of key language can be found within "Article 1. General Provisions" of the University's Academic Honesty Policy. "Academic dishonesty" means employing a method or technique or engaging in conduct in an academic endeavor that contravenes the standards of ethical integrity expected at the University of Houston or by a course instructor to fulfill any and all academic requirements. "Departmental Hearing Officer" refers to the person responsible for facilitating the departmental procedures related to the alleged violation(s)

of the academic honesty policy. Typically, the department chair or an individual designated by the department chair serves in this role. In the case of the latter, the department chair will appoint a tenured or tenure-track faculty member within their department to serve as the Department Hearing Officer. The Department Hearing Officer's responsibilities, as described below, shall report their findings to their Department Chairperson and Assistant/Associate Dean of Graduate Programs.

Categories of Academic Honesty

Plagiarism

a. Representing as one's own work the work of another without acknowledging the source (plagiarism). This would include submitting substantially identical laboratory reports or other materials in fulfillment of an assignment by two or more individuals, whether or not these used common data or other information unless this has been specifically permitted by the instructor. Plagiarism includes copying verbatim text from the literature, whether printed or electronic, in written assignments, candidacy exams, and theses/dissertations.

Cheating and Unauthorized Group Work

- b. Openly cheating in an examination, as copying from another's paper.
- c. Being able to view during an examination, quiz, or any in-class assignment, an electronic device that allows communication with another person, access to unauthorized material, access to the internet, or the ability to capture an image, unless expressly permitted by the instructor.
- d. Using and/or possessing "crib notes," as unauthorized use of notes or the like to aid in answering questions during an examination.
- e. Giving or receiving unauthorized aid during an examination, such as trading examinations, whispering answers, passing notes, and using electronic devices to transmit or receive information.
- f. Securing another to take a test in the student's place. Both the student taking the test for another and the student registered in the course are at fault.

Fabrication, Falsification, and Misrepresentation

- g. Changing answers or grades on a test that has been returned to a student in an attempt to claim instructor error.
- h. Using another's laboratory results as one's own, whether with or without the permission of the owner.

- i. Falsifying results in laboratory experiments.
- j. Misrepresenting academic records or achievements as they pertain to course prerequisites or corequisites to enroll or remain in a course for which one is not eligible.
- k. Representing oneself as a person who has earned a degree without having earned that particular degree.

Stealing and Abuse of Academic Materials

l. Stealing, as theft of tests or grade books, from faculty offices or elsewhere, or knowingly using stolen tests or materials in satisfaction of exams, papers, or other assignments; this includes the removal of items posted for use by the students.

m. Mutilating or stealing library materials; misshelving materials with the intent to reduce accessibility to other students.

Complicity in Academic Dishonesty

n. Failing to report to the instructor or departmental hearing officer an incident that the student believes to be a violation of the academic honesty policy.

Academic Misconduct

o. Any other conduct that a reasonable person in the same or similar circumstances would recognize as dishonest or improper in an academic setting.

Sanctions

The sanctions for confirmed violations of this policy shall be commensurate with the nature of the offense and with the record of the student regarding any previous infractions. Sanctions may include but are not limited to a lowered grade, failure on the examination or assignment in question, failure in the course, probation, suspension, expulsion from the University of Houston, or a combination of these.

Departmental Hearing

When an instructor (i.e., faculty member, advisor, mentor, etc.) has reasonable grounds to believe that a student has committed an act of academic dishonesty, the instructor shall notify the Departmental Hearing Officer of the concerned department, in writing, within five class days of discovery.

Students who believe they have *observed* an act of academic dishonesty shall report the incident to the instructor, as soon as possible, who shall then report the incident in writing to the Departmental Hearing Officer within five class days.

The Departmental Hearing Officer will check to see if the accused student has any prior violations of academic honesty listed with the Provost Office. A student is eligible for a waiver of departmental hearing only if he/she has no prior waiver of departmental hearing and no previous findings of a violation of the Academic Honesty Policy.

Waiver of Departmental Hearing

Upon notifying the Departmental Hearing Officer of the alleged violation, the instructor member shall have the option of suggesting to the Departmental Hearing Officer a sanction for the alleged violation of the Academic Honesty Policy that would, if acceptable to the student, instructor, and Departmental Hearing Officer, preclude a departmental hearing. Such sanctions would normally include reduced or zero credit for a test assignment, a grade of "F" in a course, or other such agreed upon sanctions. Sanctions involving disciplinary probation or sanctions requiring a college level hearing cannot be used.

In cases for which the instructor suggests a sanction to preclude the departmental hearing, within five class days of receiving the instructor's report the accused shall be notified, in writing, by the Departmental Hearing Officer informing the accused student of the nature of the violation, the recommended sanction, and ask the student to select between the choice of *either* (1) admitting the alleged academic honesty violation, waiving the formal departmental hearing, and accepting the associated sanction or (2) proceeding to a formal departmental hearing.

The waiver of a departmental hearing must be agreed to by the instructor, the student, and the Departmental Hearing Officer. In the event that all three cannot agree to a waiver, the case must be moved to a formal departmental hearing.

The waiver of a departmental hearing is agreed to by completing a departmental hearing waiver form that must be signed by the student, instructor, and Departmental Hearing Officer. Upon agreement of the waiver of departmental hearing, a copy of the completed waiver form will be shared with the College's Assistant/Associate Dean of Graduate Programs and the University's Provost's Office to be included on a list of recorded cases of academic honesty violations. Following graduation, the student can request that his/her name be removed from these lists. An agreement to settle an academic honesty infraction via a waiver of the formal departmental hearing will not result in any record being kept that is reflected on the student's transcript.

If the Departmental Hearing Officer has not received a response from the student within 10 class days of the notification of these options, the Departmental Hearing Officer shall, within the next five class days, schedule a departmental hearing.

Departmental Hearing Procedures

In case a waiver of a departmental hearing is not an option, the Departmental Hearing Officer shall, within 10 class days of receiving the instructor's report, schedule a departmental hearing. At least 10 class days prior to the departmental hearing, the Department Hearing Officer shall notify the instructor, the accused student, and the accusing party, if other than the instructor, of the nature of the alleged violation and the time, place, and date of the hearing. Should any of the parties fail to appear, without good cause, at the departmental hearing, the Departmental Hearing Officer may render a decision in their absence.

Both the instructor and the student shall have an opportunity to present their cases during the above hearing. This may include the introduction of documents and/or physical evidence as well as statements from individuals who have knowledge of the circumstances. If either party intends to have individuals appear at the hearing for such statements, the Departmental Hearing Officer must be notified at least three class days before the hearing. Both parties have an opportunity to examine the documents pertaining to the alleged violations during the hearing.

If either party intends to have legal counsel attend the hearing, the Departmental Hearing Officer must be notified at least three class days before the hearing. The hearing cannot be held with such counsel in attendance unless a representative from the University of Houston Office of General Counsel is also present. If either party will be advised by legal counsel, this individual may attend the hearing but shall not directly participate in the hearing or enter into discussion with the parties present.

If physical evidence or witness testimony is presented in a departmental hearing, and if either party needs reasonable time to review the evidence and/or consider the witness testimony, either party may request a postponement of the departmental hearing. Decisions on the postponement of the hearing will be made at the discretion of the Departmental Hearing Officer.

The Departmental Hearing Officer shall render a decision within three class days after the hearing and forward copies of the decision to the student, instructor, and College Hearing Officer of the college responsible for the course in which the alleged violation occurred; where the College Hearing Officer shall be appointed by the Dean of the College. Both the accused student and the instructor have the equal option of appeal if the decision of the Departmental Hearing Officer is not acceptable. If either the student or the instructor wishes to appeal the decision, he or she must file a written request for a hearing with the College Hearing Officer within 10 class days after receipt of the Departmental Hearing Officer's decision.

If a written appeal is not received by the College Hearing Officer of the college within 10 class days of the decision at the departmental level, the action recommended by the Departmental

Hearing Officer shall be implemented and the Dean's Office of the College and the University's Provost's Office shall be notified of the outcome of the case. A departmentally recommended sanction involving suspension or expulsion shall be reviewed in a college hearing unless such hearing is waived.

College Hearing Procedures

If a written appeal is received by the College Hearing Officer of the college within 10 class days of the decision at the departmental level, the College Hearing Officer shall, within 10 class days of receiving therequest, schedule a college hearing before the College Hearing Board. The college hearing is a de novo hearing in which the College Hearing Board must consider all the evidence on all the issues presented in the appeal as though no previous action has been taken.

The College Hearing Board shall be comprised of the College Hearing Officer and the College's Graduate Education Committee where the Graduate Education Committee is made up of a Graduate Education Committee Chair, a faculty member representing each of the College's departments, and a graduate student representing each of the College's departments. Each member of the College Hearing Board, including the graduate students representing each of the College's departments, shall have voting rights.

At least 10 class days prior to the college hearing, , the College Hearing Officer shall notify the College Hearing Board, the instructor, the accused student, and the accusing party, if other than the instructor, of the nature of the alleged violation and the time, place, and date of the hearing. Should any of the parties fail to appear, without good cause, at the college hearing, the College Hearing Officer, upon recommendation of the College Hearing Board, may render a decision in their absence.

Three class days prior to the hearing, all parties shall notify the College Hearing Officer in writing of the names of their witnesses, if any, and the subject of their testimonies. At that time, the parties will also submit a copy of the documents they intend to present during the hearing. Upon request, the College Hearing Officer will make available to the parties the information and documents referenced in this section. All parties shall be afforded the opportunity to present statements, pertinent documentation and witnesses and have an opportunity to examine the documents pertaining to the alleged violations during the hearing.

If either party intends to have legal counsel attend the hearing, the College Hearing Officer must be notified at least threeclass days before the hearing. The hearing cannot be held with such

counsel in attendance unless a representative from the University of Houston Office of General Counsel is also present. If either party will be advised by legal counsel, this individual may attend the hearing but shall not directly participate in the hearing or enter into discussion with the parties present.

The cases presented to the College Hearing Board must be made by the accusing individual and the accused student. The instructor or other individuals who reported the alleged misconduct shall present the relevant information, including statements by witnesses. The accused student shall then present his/her statement and relevant information, including statements by witnesses. Neither party shall ask questions of or solicit answers directly from the other party or its witnesses. Where it appears that there are matters of disputed fact, the College Hearing Officer shall request the College Hearing Board to ask appropriate questions of either or both parties and/or their respective witnesses so as to clarify the points in dispute

At the conclusion of each phase of the hearing, the College Hearing Board shall meet in a closed session to render a decision. A student is found in violation of the College of Pharmacy Academic Honesty Policy by a vote of four or more members of the College Hearing Board, and the sanction has to be agreed to by three or more members of the College Hearing Board. Upon reaching a decision in either phase, the College Hearing Board shall reconvene with all parties present and inform all parties of its judgment.

The College Hearing Officer shall notify in writing all parties, including the dean of the college and the provost, of the disposition of the case within five class days of receipt of the College Hearing Board's judgment.

To see the procedure for the college hearing go to "Article 6.06 College Hearing" of the University's Academic Honesty Policy.

Within five class days of the College Hearing Board's decision, either party may file an appeal for review with the provost or that officer designated by the provost. The appeal shall be in writing and shall specifically address the issues to be reviewed. If a written appeal is not received by the provost within five class days of the College Hearing Board's decision, the action of the College Hearing Board shall be implemented.

To see the procedure of the Provost Appeal, go to Article 7 "Senior Vice President for Academic Affairs and Provost Appeal" of the University's Academic Honesty Policy

College of Pharmacy Research Misconduct Policy

Research Misconduct Definition

The research conducted within the College of Pharmacy follows the policies and procedures defined by the University of Houston's Division of Research. Resources concerning the Responsible Conduct of Research (RCR) can be found [here](#) and the entire policy can be found in "[UH Full Research Misconduct Policy](#)".

As defined by the Department of Health and Human Services (DHHS) Office of Research Integrity (ORI) and the National Science Foundation (NSF), research misconduct means fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results, including:

- a. *Fabrication*: making up data or results and recording or reporting them;
- b. *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; and
- c. *Plagiarism*: the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.

Research misconduct does not include honest errors or differences of opinion.

Laboratory Safety and Record Keeping

To comply with laboratory safety protocols within the University of Houston, it is required that laboratory information be recorded in English. This specifically applies to laboratory notebooks, documents, and reagents. Note that if reagents are not labeled in English before arriving in the laboratory, they must then be translated into English before entering the laboratory. For safety, discussing professional and/or laboratory matters with personnel in a language other than the English language, either in the laboratory or in the common areas is considered misconduct by this policy. Additionally, it should be noted that record keeping for funded research must comply with being legible, clear, timely, thorough, complete, secure, and well-organized while being in English.

Intellectual Property

The UH System Board of Reagent Policies outlines intellectual property in section [21.08 Intellectual Property](#). Written there it states:

"Copyrighted material", or "work of authorship" means original expression that is fixed in any tangible medium of expression and subject to copyright protection under Title 17 of the United States Code as it now exists or as it may be amended. Under federal law, copyright subsists from the moment of the work's creation, although protection may be enhanced by registration with the United States Copyright Office. Works of authorship currently include 1. Books, journal articles, texts, glossaries, bibliographies, study guides, laboratory manuals, syllabi, tests, and survey instruments; 2. Lectures and unpublished lecture notes; 3. Musical works; 4. Dramatic works; 5. Works of visual art, such as sculptures and drawings; 6. Architectural works; 7. Films, audiovisual works, slide programs, film strips; 8. Sound recordings and video recordings containing original performances; 9. Programmed instruction materials; 10. Computer programs and documentation.

The College of Pharmacy's *Research Trainee Code of Professional Integrity* defines that all students must protect the intellectual property of the research advisor/mentor and the laboratory's research program.

Research trainees are required to support the protection of intellectual property by the advisor/mentor. This includes the understanding that there may be some delays in the publication of data in journal articles, abstract submissions, and/or research presentations. Claims of inventorship in intellectual property applications require significant intellectual or technical input. Inventorship on an intellectual property application is based upon two items: (1) *Contribution of ideas*, resulting in a claim, and (2) *Reduction to practice*, (i.e., the physical part of the inventive act) where there was work involved in actually generating proof. If a student feels that they have been unfairly excluded from an invention disclosure, the trainee should address the issue with their advisor/mentor. If the trainee and advisor/mentor cannot come to an agreement, then they are to reach out to the UH Office of Technology Transfer (OTTI) to discuss their concerns. This should be followed by submitting a formal petition to the College of Pharmacy's *Graduate Studies Committee* (GSC). It is to be noted that the royalty allocations are solely at the discretion of the advisor/mentor (i.e., Principal Investigator; PI).

In addition, research data generated within the College of Pharmacy are the property of the college and are to remain in the College, Department, and/or laboratory upon graduation from the program or upon separation from the University/College. All research data must be recorded in English.

Collaborations

Unique to the College of Pharmacy's *Research Trainee Code of Professional Integrity* is the statement of unauthorized collaborations. Research Trainees are required to obtain approval

from their advisor/mentor to initiate collaboration(s) on an academic and/or research project(s) with another independent investigator. If the student's graduate advisor/mentor does not approve the collaboration before the collaboration starts, the student may then submit a formal petition to the College of Pharmacy's *Graduate Studies Committee* (GSC).

Claims of Authorship

The University of Houston's policies and procedures does not specifically address the pursuit of unreasonable claims of authorship on scientific publications, but it does have a university-wide policy and procedure, for graduate, and professional students, to apply to the *redress of grievances* (i.e., "the right to make a complaint to or seek the assistance of, one's [university], without fear of punishment or reprisals") concerning academic and instructional matters and other issues for which there are no other existing grievance procedures. The policy can be found here "[Grievance Policy and Procedure for Graduate, Professional Students](#)".

The College of Pharmacy's *Research Trainee Code of Professional Integrity* defines unreasonable claims of authorship as demanding authorship without significant intellectual or technical input. At a minimum, the requirement for authorship is to be in consultation and discretion of their faculty advisor/mentor. If the research trainee's advisor/mentor does not approve the research trainee's claim of authorship, the university-wide grievance policy and procedure will be followed.

College of Pharmacy Professionalism of Research Trainees

Dress Code

The University of Houston's policies and procedures does not specifically address a student dress code. The College of Pharmacy's *Research Trainee Code of Professional Integrity's* statement of unprofessional appearance and behavior will follow the *Student Dress Code* policy found within the College of Pharmacy's current "[Pharm.D. Student Handbook](#)" as well as the singular policy "[Professional Dress Code](#)". Due to the nature of the trainee's unique role in the College of Pharmacy, additional measures are required. The unprofessional dress code and appearance of research trainees are defined as inappropriate clothing and/or general appearance while pursuing their academic mission (i.e., studying, researching, and working) either on the University of Houston campus or while representing the College of Pharmacy in scientific and other formal meetings. This policy applies to all research trainees engaged in research and/or enrolled within the College of Pharmacy. Examples of approved men's attire include polo-style

shirts, collared shirts, slacks, and khakis/denim pants. Examples of approved women's attire include polo-style shirts, collared shirts, blouses, slacks, khakis/denim pants, skirts/dresses, and capris. Also, leggings may be worn under other attire. Examples of unacceptable attire include hats (other than those required for religious purposes), baggy or sagging pants/bottoms, shorts, mini-skirts, mid-drifts or low-cut tops, backless clothing, tank tops, spaghetti strap tops, cut-off shirts, pajamas, slippers, and flip-flop sandals. These standards of attire are intended to be self-regulated.

When a trainee is performing research activities within a research laboratory, the dress code will follow the policy found in the University of Houston's Environmental Health and Safety (EHS) current "[Chemical Hygiene Plan](#)". Specifically, legs and feet must be covered by closed-toe shoes, long pants or skirts which fully cover the legs (no sandals, open-toed shoes, or shorts), long hair must be confined, and loose clothing and jewelry must be secured before beginning work.

A professional dress code and appearance must be followed for all research trainees when disseminating research findings (i.e., seminar presentations, poster/oral presentations, proposal defense and dissertation defense presentations, and while attending local/regional/national/international meetings, conferences, symposia, and/or other similar formal meetings) and when a research trainee is performing Teaching Assistant (TA) assignments and duties (i.e., proctoring Pharm.D., quizzes/exams, skill labs, and other similar duties).

College of Pharmacy External Representation by Research Trainees

The University of Houston's policies and procedures does not specifically address unprofessional behavior at off-campus scientific conferences and meetings. The College of Pharmacy's *Research Trainee Code of Professional Integrity* defines unprofessional behavior at off-campus scientific conferences and meetings as not fulfilling the expected responsibilities of the scientific conference or meeting. Examples of unprofessional behavior include not showing up for their scientific poster presentations, leaving their posters unattended for long periods, and using scientific conference time for excessive sightseeing. During the meeting time, attendance is expected, and that research trainee activity involves attending scientific session presentations, workshops, etc. Failure to professionally represent the College of Pharmacy in off-campus, scientific conferences or events can result in the prevention of future attendance to such events and an advisor/mentor withholding a letter of recommendation. Additionally, allegations of such

behavior can be reported using the academic honesty policy procedures based on the situation's associations with enrollment in research hours.

Short Term Leave and Absences

The College of Pharmacy's *Research Trainee Code of Professional Integrity* defines unexcused absences as not showing up for classes, lab research work, or taking unauthorized and/or non-informed travel/vacations (i.e., domestic vacations, foreign vacations, and/or vacation time in general). This policy applies to all graduate students including but not limited to TAs, RAs, and scholarship students (whether funded by a domestic or international agency, institution, government, etc.). Graduate students must obtain approval from their faculty advisor/mentor and the College of Pharmacy before travel/vacation plans are considered. The graduate student policy for short-term leave and additional time off are outlined in the "[Ph.D. Student Policies and Procedures](#)". Failure to adhere to these policies can be reported to the Assistant/Associate Dean for Graduate Programs for lack of satisfactory academic progress.

College of Pharmacy Research Trainee Acknowledgement and Pledge

All research trainees, as defined above, within the College of Pharmacy at the University of Houston are required to read and then sign the following *Research Trainee Code of Professional Integrity* pledge, both (1) before the beginning of their position as a research trainee and (2) at the time of petitioning for the advancement of their positions (i.e., Ph.D. or M.S.). The research trainees will *Acknowledgement and Pledge* the following *Research Trainee Code of Professional Integrity*:

- **I acknowledge and certify that I have read and understood the objectives and principles of the *University of Houston College of Pharmacy Research Trainee Code of Professional Integrity*, and further, I agree to uphold and abide by the provisions contained therein, effective immediately and until my enrollment in the University of Houston College of Pharmacy is terminated.**
- **The Office of the Dean will deny admission into the graduate program and/or the capacity to function as a research trainee as defined within this *Code of Professional Integrity*, to any applicant or research trainee who refuses to sign this pledge.**

This *Research Trainee Code of Professional Integrity* includes following the policies and procedures of the University of Houston and College of Pharmacy in the order they appear within this policy: (1) University of Houston’s “[Student Code of Conduct](#)”, (2) University of Houston’s “[Ethical Conduct of Employees](#)”, (3) University of Houston’s “[Academic Honesty Policy](#)”, (4) University of Houston’s Division of Research “[Responsible Conduct of Research](#)”, (5) University of Houston’s Division of Research “[UH Full Research Misconduct Policy](#)”, (6) UH System Board of Regents Policy “[Intellectual Property](#)”, (7) University of Houston’s “[Grievance Policy and Procedure for Graduate, Professional Students](#)”, (8) University of Houston’s College of Pharmacy “[Pharm.D. Student Handbook](#)”, (9) University of Houston’s College of Pharmacy “[Professional Dress Code](#)”, (10) University of Houston’s Environmental Health and Safety “[Chemical Hygiene Plan](#)”, and (11) University of Houston’s College of Pharmacy “[Ph.D. Student Policies and Procedures](#)”.

Signature: _____

Research Trainee

Date: _____

Printed name: _____

Date: _____

Research Trainee