

Ethical Breaches and Misconducts

May 2023

I. Definitions

- a. Ethical Research Breaches: Deviations and/or violations of the standard and accepted practices of research, as well as the defined policies, rules and regulations of KFAS. These breaches are considered intentional, reckless, and/or negligent.
- b. Contractual Breaches: Deviations and/or violations of any of the agreed-upon terms and conditions defined in a formal contract.
- c. Defining Types of Breaches:
 - i. Falsification of Information: Manipulation of information provided to KFAS without acknowledgement, including personal and professional contact information.
 - ii. Double-Dipping: Submission of the exact same proposal or application to KFAS and another funding source without acknowledgement or notification to either party.
 - iii. Plagiarism, including self-plagiarism: Using and presenting another's work, published or unpublished, as one's own, without appropriate referencing or permission. This includes self-plagiarism, in which is the presenting of one's own published work without proper referencing or permission. KFAS's policies governing plagiarism are defined in the KFAS Plagiarism Policy.
 - iv. Falsification of Data: Manipulation of data, including omissions and modifications, without acknowledgement, to methodologies, raw data, analyzed data, graphs or images.
 - v. Fabrication of Data: Forging or making up raw or analyzed data, graphs, or images.
 - vi. Mismanagement of Conflict of Interest: Failure to manage or declare perceived, potential, or real conflicts of interest, as defined in the KFAS Code of Research Conduct.
 - vii. Invalid Authorship: Assigned authorship not reflective of the contribution of the author to the research (i.e., gifting authorship, authors on publication not part of research team as defined in the approved research grant) or against the policies as defined in the KFAS Guidelines for Authorship.
 - viii. Mismanagement of Research Funds: Using funding granted by KFAS for other purposes without approval from KFAS and/or inaccurately documenting expenditures when reporting.

Type of Violation	Violations/Breaches
Low	<ol style="list-style-type: none"> 1. Falsification of information on proposals, reports or official documents submitted to KFAS. 2. Double-Dipping: submitting the same proposal to another funding agency for funding without informing KFAS. 3. Self-plagiarism with adequate¹ referencing.
Medium	<ol style="list-style-type: none"> 1. Self-plagiarism without adequate referencing. 2. Falsification of data on proposals, reports, etc. 3. Invalid authorship, or not aligned with KFAS² Guidelines for Authorship. 4. Mismanagement of Conflicts of Interest.
High	<ol style="list-style-type: none"> 1. Fabrication of data on reports, journal articles or official documents submitted to KFAS. 2. Plagiarism in proposals, reports or any documentation sent to KFAS (as defined in the plagiarism policy in KFAS). 3. Any act of ethical and/or contractual³ breaches discovered by other agencies or journals. 4. Mismanagement of research funds.

¹ Adequate referencing means that all relevant and applicable publications, documentations, and sources that support the text or figure are referenced. Omission on any reference needed would be considered inadequate referencing.

² From the perspective of the author/PI, as the decision regarding authorship lies with the PI on the project, who is expected to adhere to the KFAS Guidelines for Authorship policies.

³ Some contractual breaches may be considered in the medium or low category. This is based on KFAS's discretion.