Research Integrity and Research Misconduct

Perspectives from the U.S. Office of Research Integrity

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Promote integrity in research funded by the Public Health Service

Provide regulatory oversight for investigations of research misconduct

~ 5,000 institutions receive PHS funding
Federal Research Funding in the U.S.

~ $134 billion Federal Funds allocated for Research and Development in 2014

~ $31 billion allocated for the Department of Health and Human Services (DHHS)

Sources: [http://fas.org/sgp/crs/misc/R43580.pdf](http://fas.org/sgp/crs/misc/R43580.pdf)  
[http://www.nih.gov/about/almanac/appropriations/index.htm](http://www.nih.gov/about/almanac/appropriations/index.htm)  
Last accessed: 5/12/2015
Requirements for ORI Assurances

All institutions applying for or receiving research funds from U.S. Public Health Service must have an assurance with ORI:

1. Policies and procedures for handling allegations of research misconduct;

2. Foster an environment that promotes the responsible conduct of research; and

3. Submit an annual report to ORI.
Global distribution of the ~400 non-U.S. institutions with assurances from ORI
U.S. Public Health Service
Definition of 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.*

(U.S. Federal Regulation 42 CFR Parts 50 and 93)
Requirements for findings of research misconduct

A finding of research misconduct requires that:

a) There be a significant departure from accepted practices of the relevant research community; and

b) The misconduct be committed intentionally, knowingly, or recklessly; and

c) The allegation be proven by a preponderance of the evidence.
Case Summary: Reddy, Venkata J.

AGENCY: Office of the Secretary, HHS.
ACTION: Notice.
SUMMARY: Notice is hereby given that the Office of Research Integrity (ORI) has taken final action in the following case:

Venkata J. Reddy, University of Minnesota: Based upon the evidence and findings of an investigation report by the University of Minnesota (UMN), an investigation conducted by another Federal agency, and additional information obtained by the Office of Research Integrity (ORI) during its oversight review of the UMN investigation, ORI found that Mr. Venkata J. Reddy, former Graduate Student, Department of Chemistry, UMN, engaged in research misconduct in research that was included in grant application R01 GM095559-01A1, submitted to the National Institute of General Medical Sciences (NIGMS), National Institutes of Health (NIH).

ORI found by a preponderance of the evidence that the Respondent intentionally and knowingly engaged in research misconduct by falsifying and/or fabricating data that was provided to his mentor to include in grant application R01 GM095559-01A1 submitted to NIGMS, NIH, to obtain U.S. Public Health Service (PHS) funds. Specifically, ORI found that the Respondent falsified data included in Figures 4, 9, 11, 15, and 25 in R01 GM095559-01A1 for enantiomeric excess (“ee”) to falsely show a high degree of selectivity for one enantiomer over another by a cut-and-paste method and manipulation of the instrument to give the desired result. Respondent also falsified the underlying nuclear magnetic resonance spectroscopy (NMR) data for Compound 22 reported in Figure 15 in R01 GM095559-01A1 by a cut-and-paste method to manipulate the NMR spectra and give the desired result.

Dr. Reddy has been debarred by the Federal agency with joint jurisdiction for a period of five (5) years, ending on August 26, 2018. ORI has implemented the following administrative action to coincide with the government-wide debarment.

1. Respondent is prohibited from serving in any advisory capacity to PHS including, but not limited to, service on any PHS advisory committee, board, and/or peer review committee, or as a consultant.
Number of Queries/Allegations submitted to ORI (U.S. and Non-U.S.)

Source: Division of Investigative Oversight Case Tracking Database, U.S. Office of Research Integrity
Number of Research Misconduct Cases handled by ORI

Source: Division of Investigative Oversight Case Tracking Database, U.S. Office of Research Integrity
Closed ORI Cases by Rank (1993-2014)

Total # of closed cases with no findings of misconduct  Total # of closed cases with findings of misconduct

Source: Division of Investigative Oversight Case Tracking Database, U.S. Office of Research Integrity
“Causes” of Research Misconduct

- Poor Mentorship
- Inadequate Training
- Competitive Pressures (Publications, funding, positions, prestige, etc.)
- Individual Circumstances
- Individual Psychology

Research Misconduct
“My data was never once reviewed by any of the co-authors…”

Graduate Student Respondent
4/14/03

Comments:

On page 8 it states that I was "a little scared to go to him," referring to Dr. [REDACTED]. This statement was meant for Dr. [REDACTED]. I was scared to go to him due to the fact that he used to scream and yell at me when things did not work as planned.
“...I made a big mistake by manipulating data on a poster ... I thought this kind of modifications didn’t change the conclusions.

... Being a green hand from a different culture background ... I had been ignorant about some rules of scientific ethics...”

Graduate Student Respondent
“I wanted to get out of grad school so badly that I would do anything.”

Graduate Student Respondent
Trends in Instructional Staff Employment Status, 1975-2011
All Institutions, National Totals

Notes: Figures for 2011 are estimated. Figures from 2005 have been corrected from those published in 2012. Figures are for degree-granting institutions only, but the precise category of institutions included has changed over time. Graduate student employee figure for 1975 is from 1976. Percentages may not add to 100 due to rounding.

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Educational Resources
Website
~1 M visits per year

Blog

Twitter  @HHS_ORI

Newsletter
Monthly Email Blasts
Sign up on ORI website

Rapid Response
Technical Assistance
4th World Conference on Research Integrity  
May 31 - June 3, 2015; Rio di Janeiro

Research Misconduct in Clinical Research  
June 18-19, 2015, Washington, DC

Research Integrity Officer Boot Camps

ORI 2017 Conference

GRANTS for Conferences and Research
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