



Research Integrity and Research Misconduct

*Perspectives from the
U.S. Office of Research Integrity*

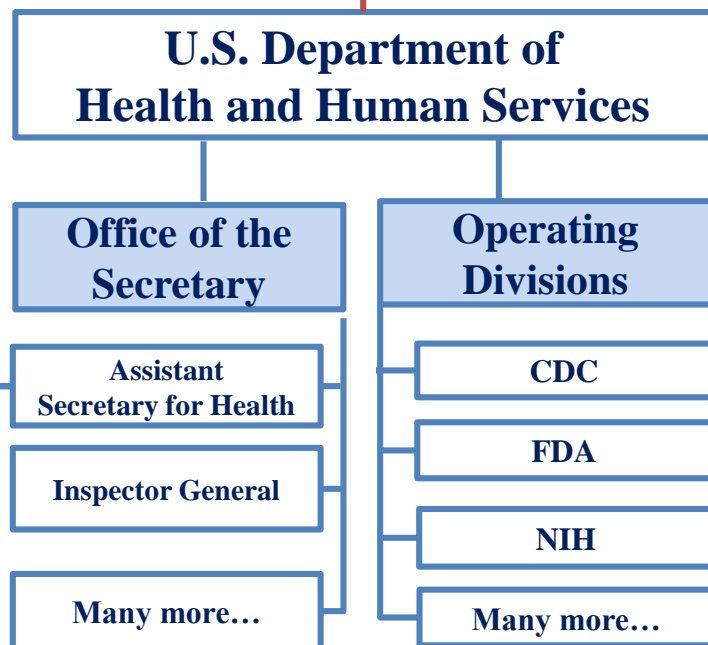
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Director, Division of Education & Integrity

Co-author **Raju Tamot, PhD**



Howard University
Office of Regulatory Research Compliance

November 6, 2015



Promote integrity in research funded by the Public Health Service

Provide regulatory oversight for investigations of research misconduct

~ 5,000 institutions receive PHS funding



Global Partnerships





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://www.nih.gov/about/almanac/appropriations/index.htm>

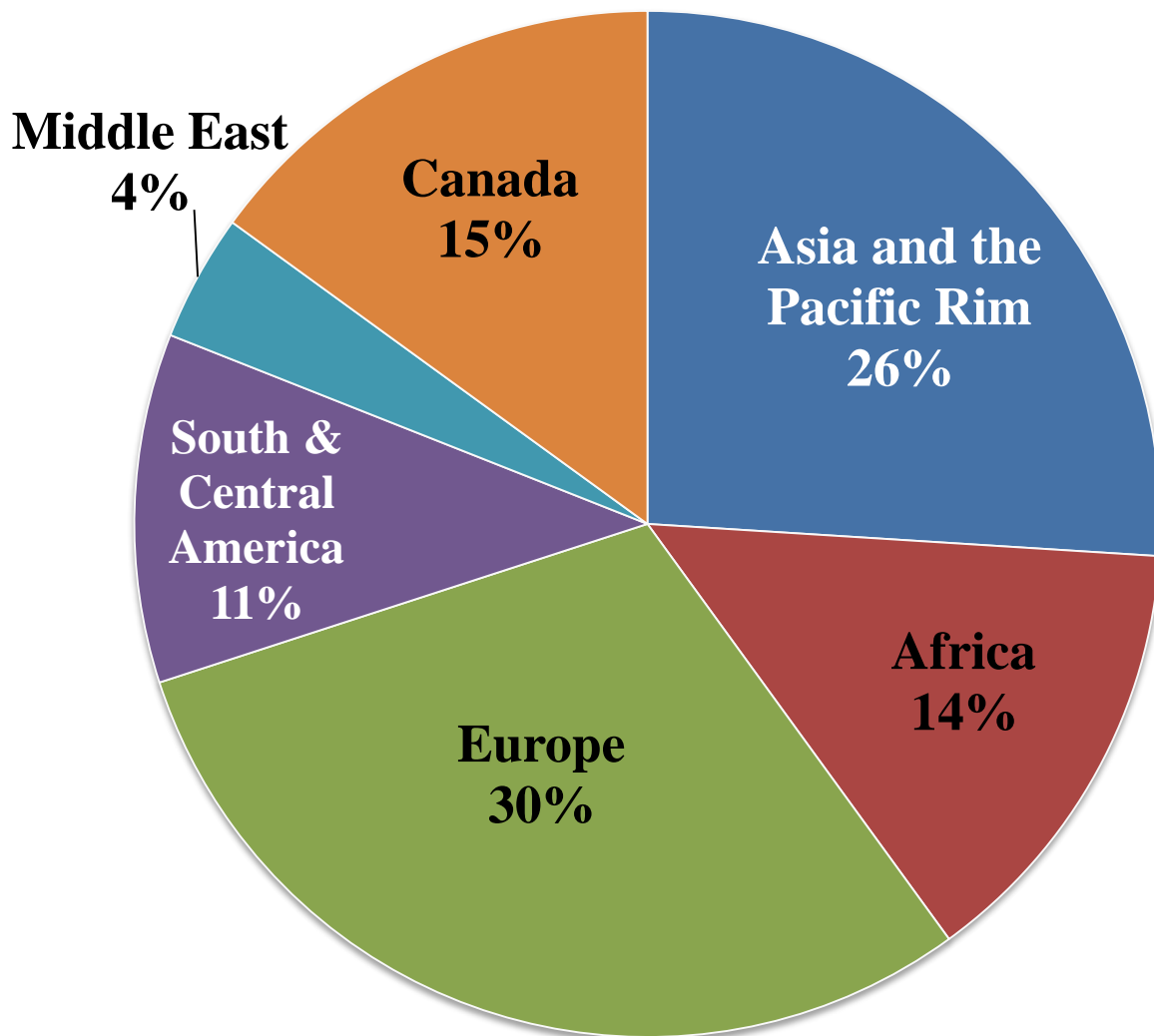
Last accessed: 5/12/2015



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

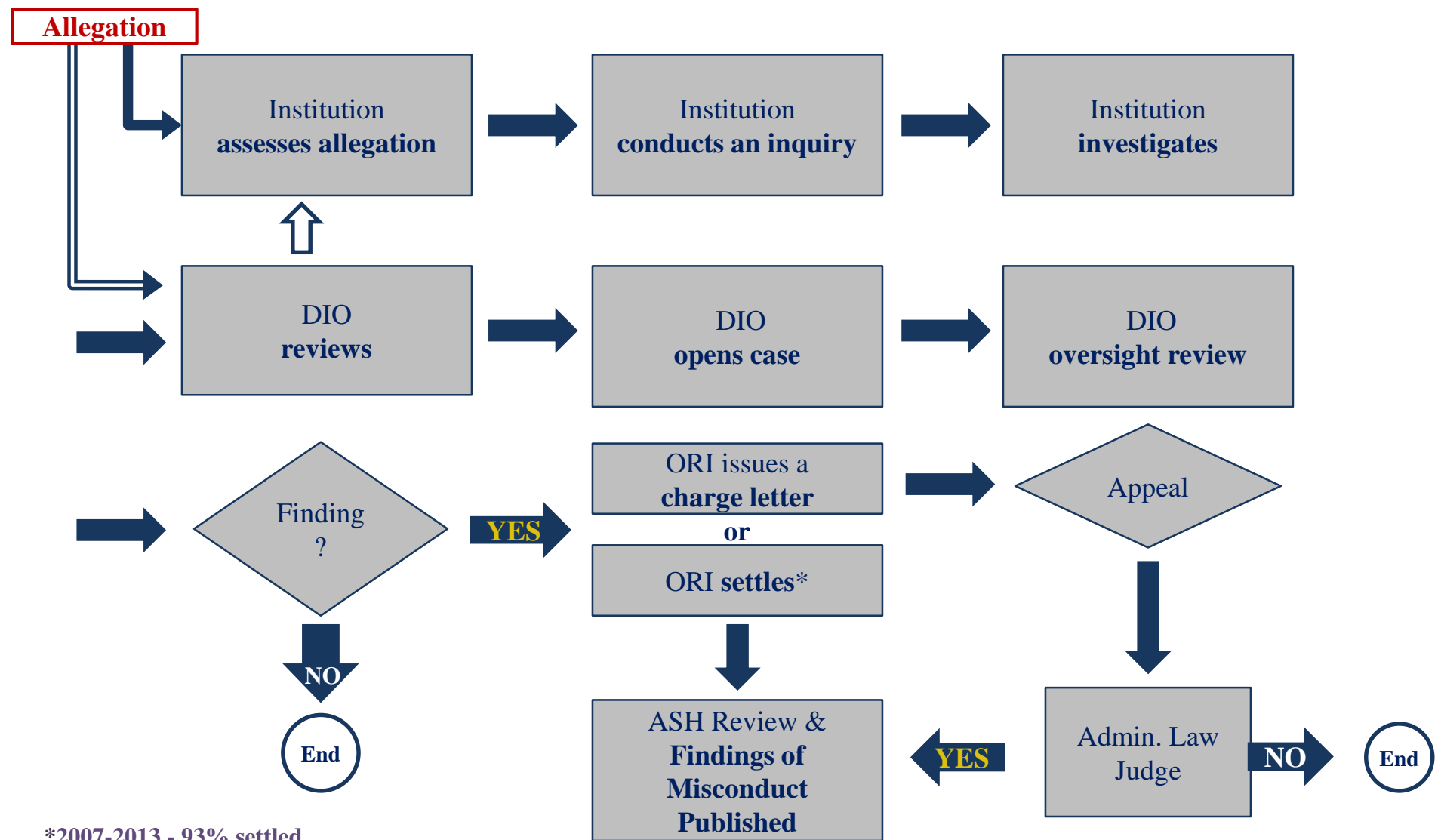


U.S. Public Health Service Definition of Research Misconduct:

**“...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)



*2007-2013 - 93% settled



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**.



U.S. Department of Health & Human Services

THE OFFICE OF
RESEARCH
INTEGRITY®

Home About ORI News & Events Research Misconduct RCR Resources Programs Policies

The Lab: Now Available in Spanish

In "The Lab" you become the lead characters in an interactive movie and make decisions about integrity in research that can have long-term consequences.

Read More...

1 2 3 4

LABORATORIO:

Evitando mala conducta en la investigación

ORI Updates

May 01 **New Research Misconduct Finding: Venkata J. Reddy**
ORI found that Dr. Venkata J. Reddy intentionally and knowingly engaged in research misconduct by falsifying and/or fabricating data that was provided to his mentor to include in grant application.

Apr 07 **New Research Misconduct Finding: Teresita Briones**
ORI found that Dr. Teresita Briones intentionally, knowingly, and recklessly engaged in research misconduct by falsifying and/or fabricating data that were included in five publications and three grant applications.

Apr 07 **New Research Misconduct Finding: Ryouosuke Fujita**
ORI found that Dr. Ryouosuke Fujita engaged in research misconduct by falsifying and fabricating data that included in figures in the following two publications and one unpublished manuscript.

Mar 23 **Job Announcement: ORI Director**
Join the U.S. Health and Human Services team as the Director for the Office of Research Integrity. Applications are being accepted until May 15, 2015.

Case Summary: Reddy, Venkata J.

PUBLIC

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.

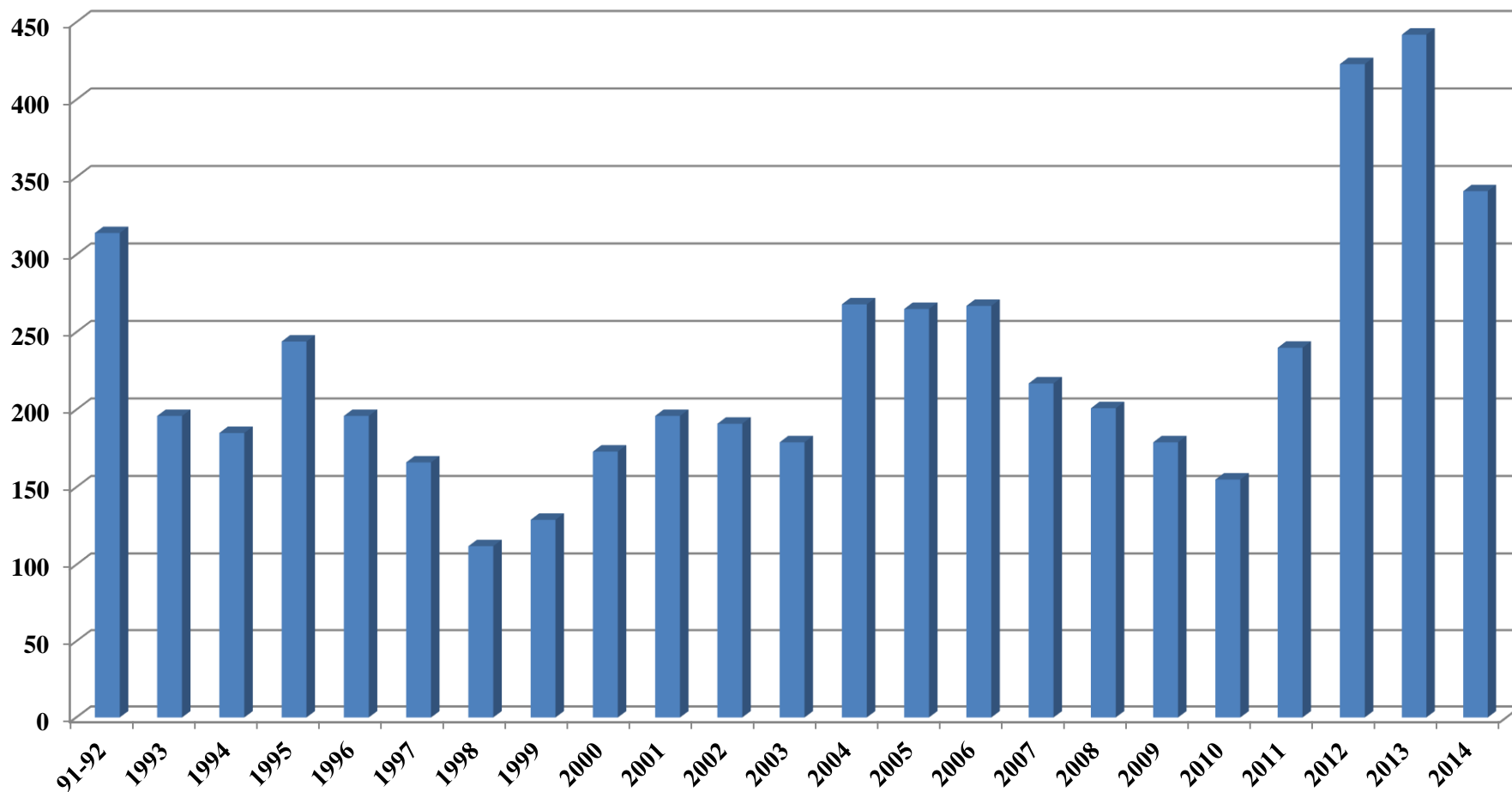
Dr. Reddy has been debarred by the Federal agency with joint jurisdiction for a period of five (5) years, ending on August 26, 2018. ORI has implemented the following administrative action to coincide with the government-wide debarment:

(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.

Last Updated on Mon, 2015-05-04 11:38.



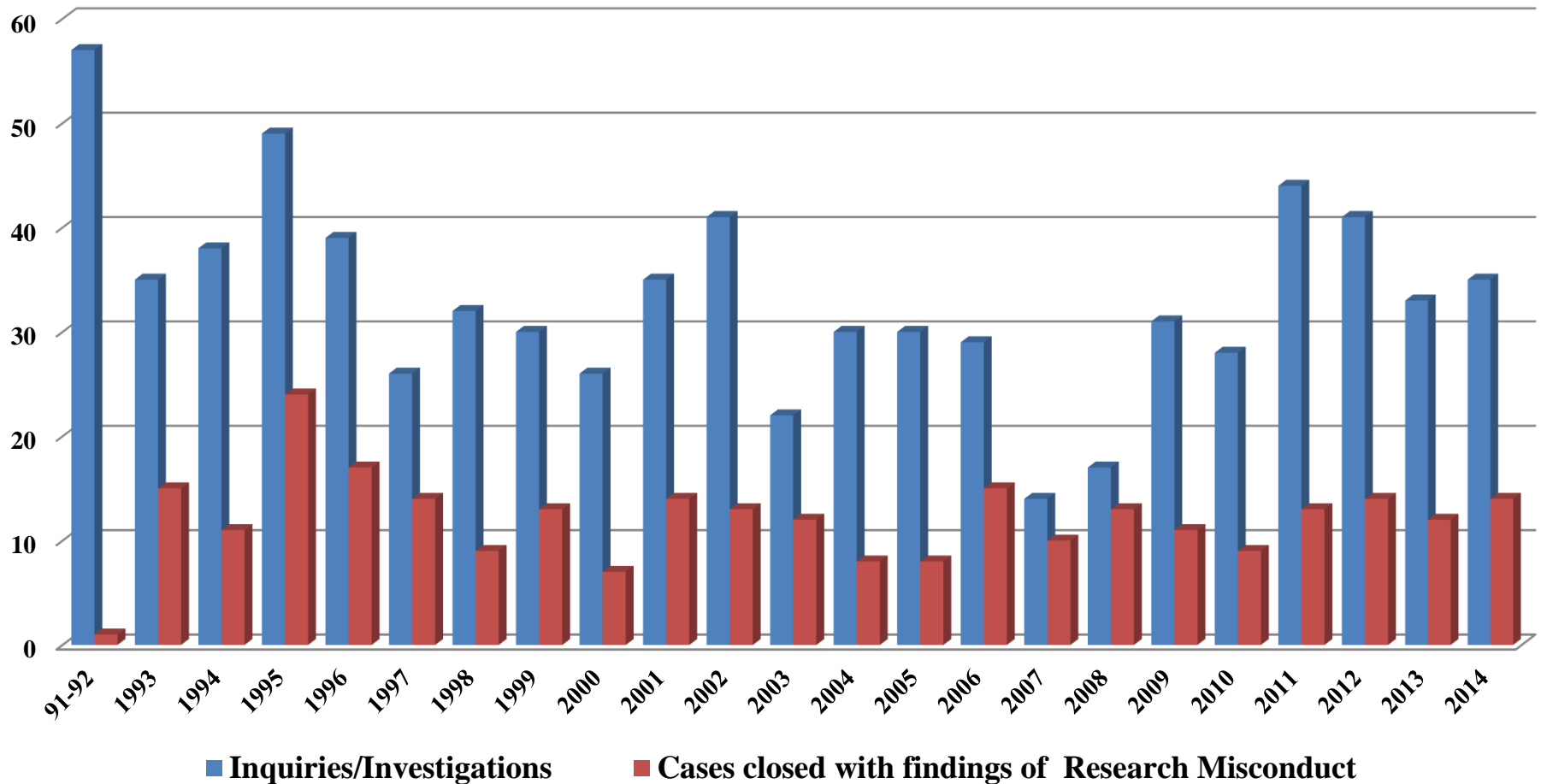
Number of Queries/Allegations submitted to ORI (U.S. and Non-U.S.)



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

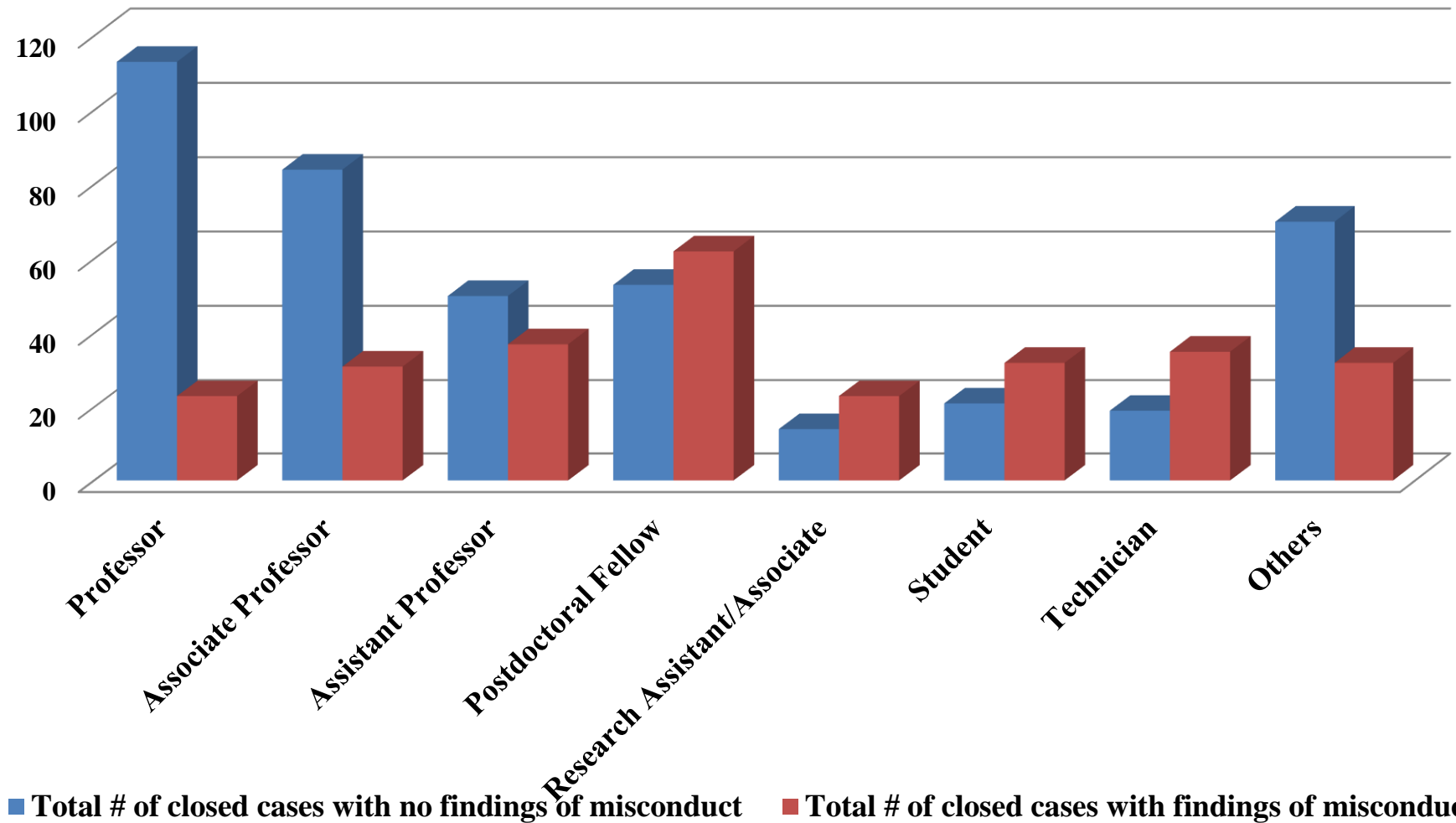


Number of Research Misconduct Cases handled by ORI



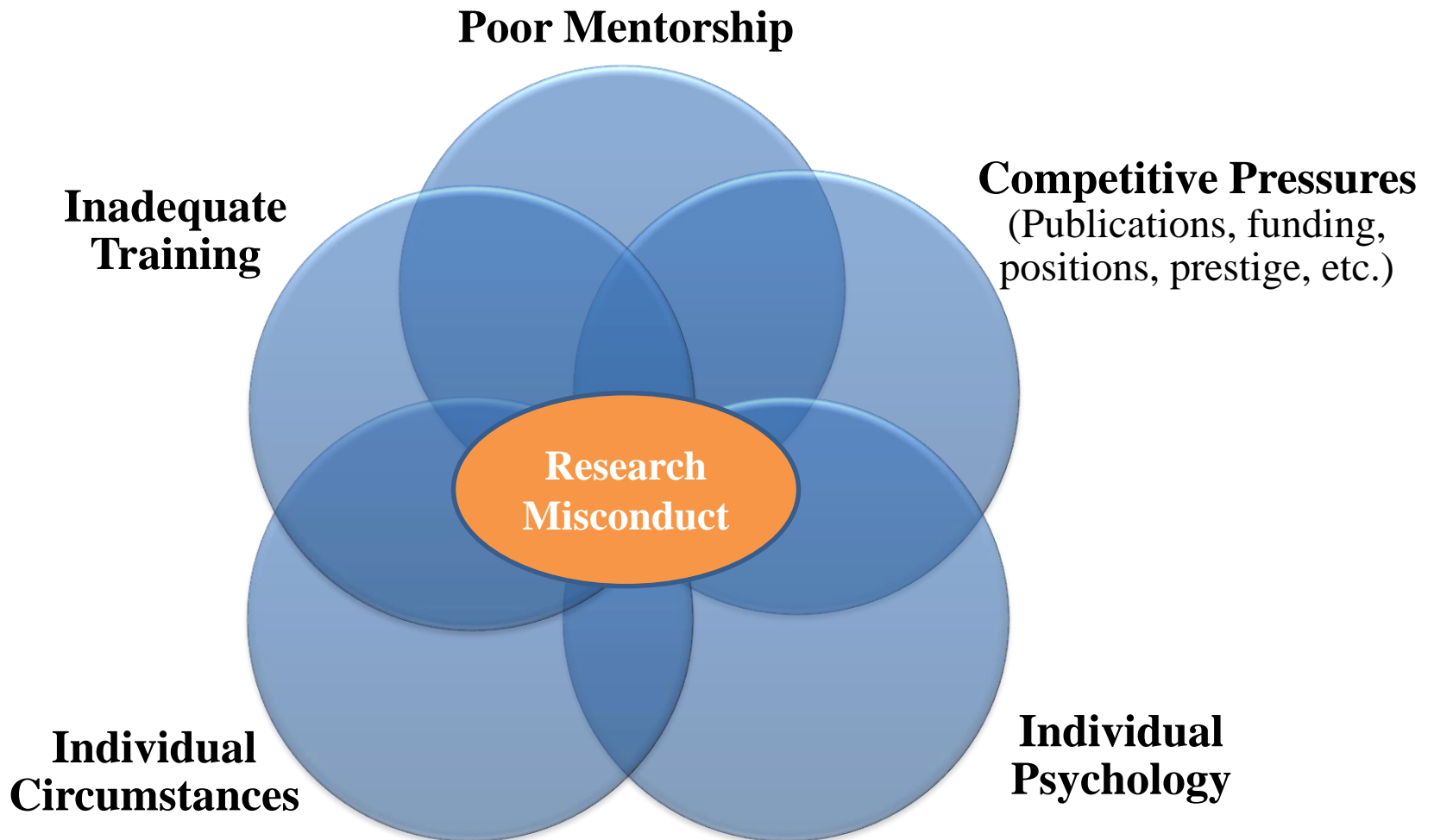


Closed ORI Cases by Rank (1993-2014)





“Causes” of Research Misconduct





“My data was never once reviewed by any
of the co-authors...”

Graduate Student Respondent



Document received 4/21/03
From [REDACTED] V.K.

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 use to scream and yell at me when things did not work as planned.

Research Assistant Respondent
Response to Draft Institutional Inquiry Report



“...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



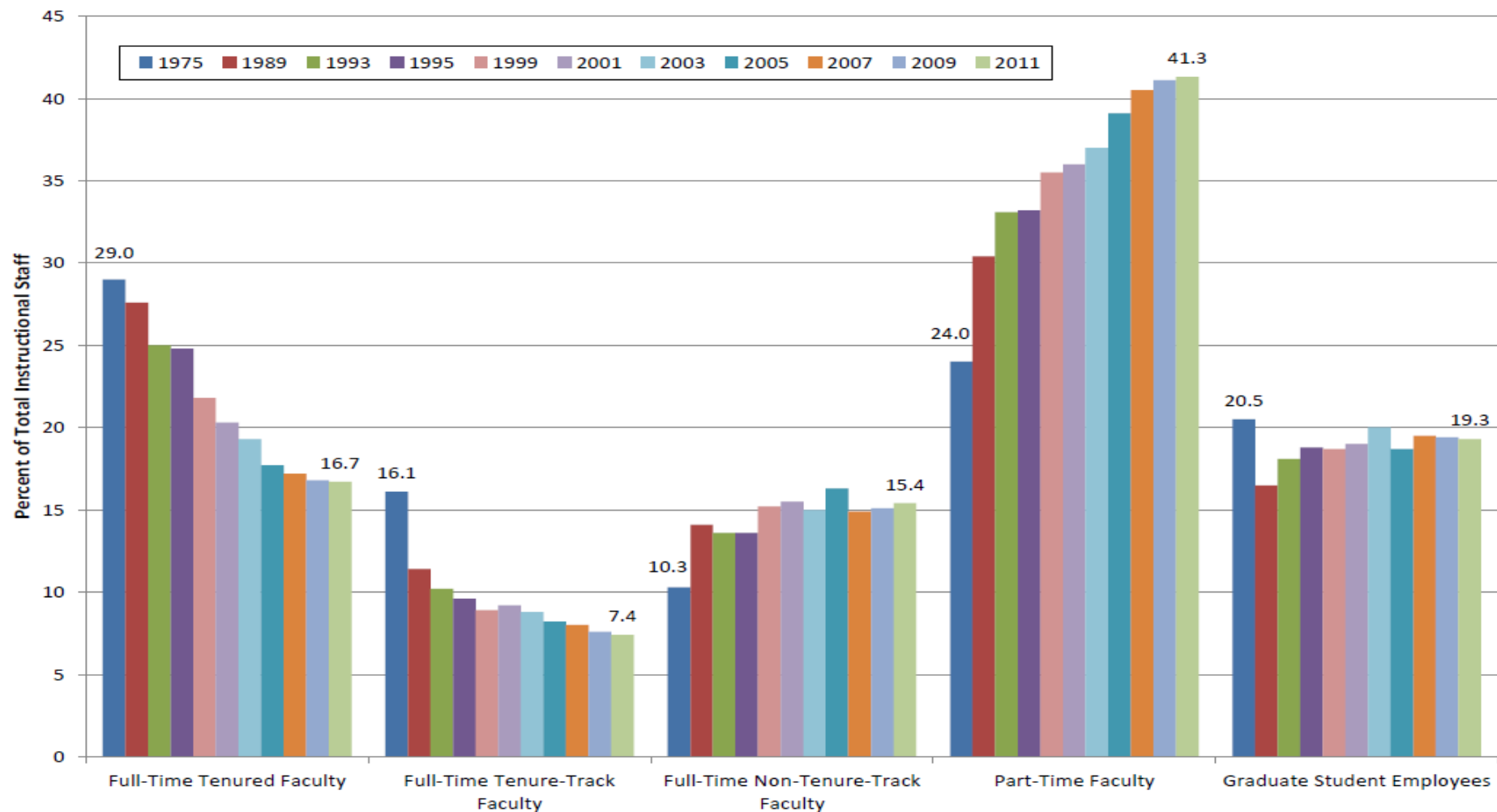
“I wanted to get out of grad school so badly that I would do anything.”

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.

Source: US Department of Education, IPEDS Fall Staff Survey. Tabulation by AAUP Research Office, Washington, DC. Released April 2013.

Responsible Conduct of Research (RCR) Instructional Areas

1

**Research
Misconduct**



2

**Human
Subjects**

3

**Animal
Welfare**

4

**Mentor/
Trainee
Responsibilities**

5

**Data
Acquisition,
Management,
Sharing, &
Ownership**

6

**Publication
Practices &
Responsible
Authorship**

7

Peer Review

8

**Conflict of
Interest and
Commitment**

9

**Collaborative
Science**

10

?



The Lab



Interactive Movie on Research Misconduct

PLAY FULL
VERSION

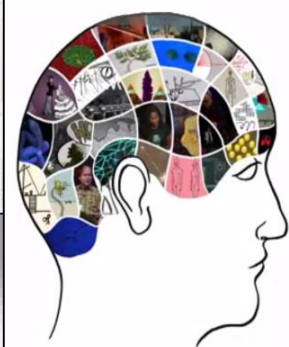
EL LABORATORIO
PLAY SPANISH
VERSION

繁體中文版
PLAY CHINESE
VERSION

Download The Lab Guide

Description
In this interactive movie, you assume the role of four characters confronted with the pressures of working in a research environment. You will learn about the importance of protecting research and avoiding research misconduct through the experiences of the characters.

The Characters
You assume the role of four characters confronted with the pressures of working in a research environment.



TED-Ed
Lessons Worth
Sharing

KIM PARK, a third-year graduate student, who questions the use of her data by another researcher.

BETH RIDGELY, a research administrator, who has accepted the role as the university's Research Integrity Officer.



PLAY FULL VIDEO

Description

The Office of Research Integrity (ORI) and the Office for Human Research Protections (OHRP) present *The Research Clinic*, an interactive training module for clinical and social scientists. The importance of protecting research and avoiding research misconduct is emphasized. *The Research Clinic* allows you to assume the role of four characters and determine the outcome of the story by selecting a decision for each "playable" character.

The Characters

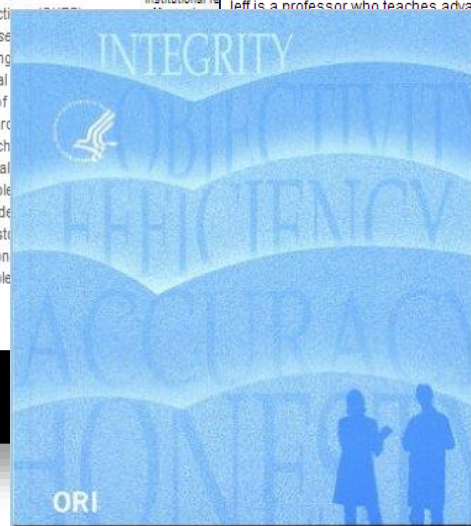
In this simulation, you assume the role of four characters confronted with the pressures of working in a research environment.

Case Two: Risky Authorship

RCR Casebook: Authorship and Publication

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Left is a professor who teaches advanced statistics courses and also does some outside consulting.



Introduction to the Responsible Conduct of Research

Nicholas H. Steneck
Illustrations by David Zinn

OFFICE OF RESEARCH INTEGRITY

The Role of the RIO



Office of Public Health and Science
U. S. Department of Health and Human Services



COMMUNICATIONS and TECHNICAL ASSISTANCE

Website
~1 M visits per year

Blog

Twitter @HHS_ORI

Newsletter

Monthly Email Blasts
Sign up on ORI website

Rapid Response
Technical Assistance





CONFERENCES AND WORKSHOPS and GRANTS



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



INTERNATIONAL NETWORKS



UK Research Integrity Office

ARIO

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Netherlands Research Integrity Network



THANK YOU!



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