

# MEET YOUR RIO—RESEARCH INTEGRITY OFFICER

## Research Integrity Staff



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# RESEARCH INTEGRITY IS A UT PRIORITY

## **RESEARCH INTEGRITY**

Integrity in research is a core value of The University of Toledo. In UToledo News article (August 2018) President Sharon Gaber said, “Administrators, faculty, students and staff have a responsibility to uphold the highest standards of honesty, integrity and reliability in research and scholarship to support advancements in all disciplines, and to maintain public trust in University research and scholarly activity.”

# Duke University settles research misconduct lawsuit for \$112.5 million

By [Science News Staff](#) | Mar. 25, 2019 , 1:50 PM

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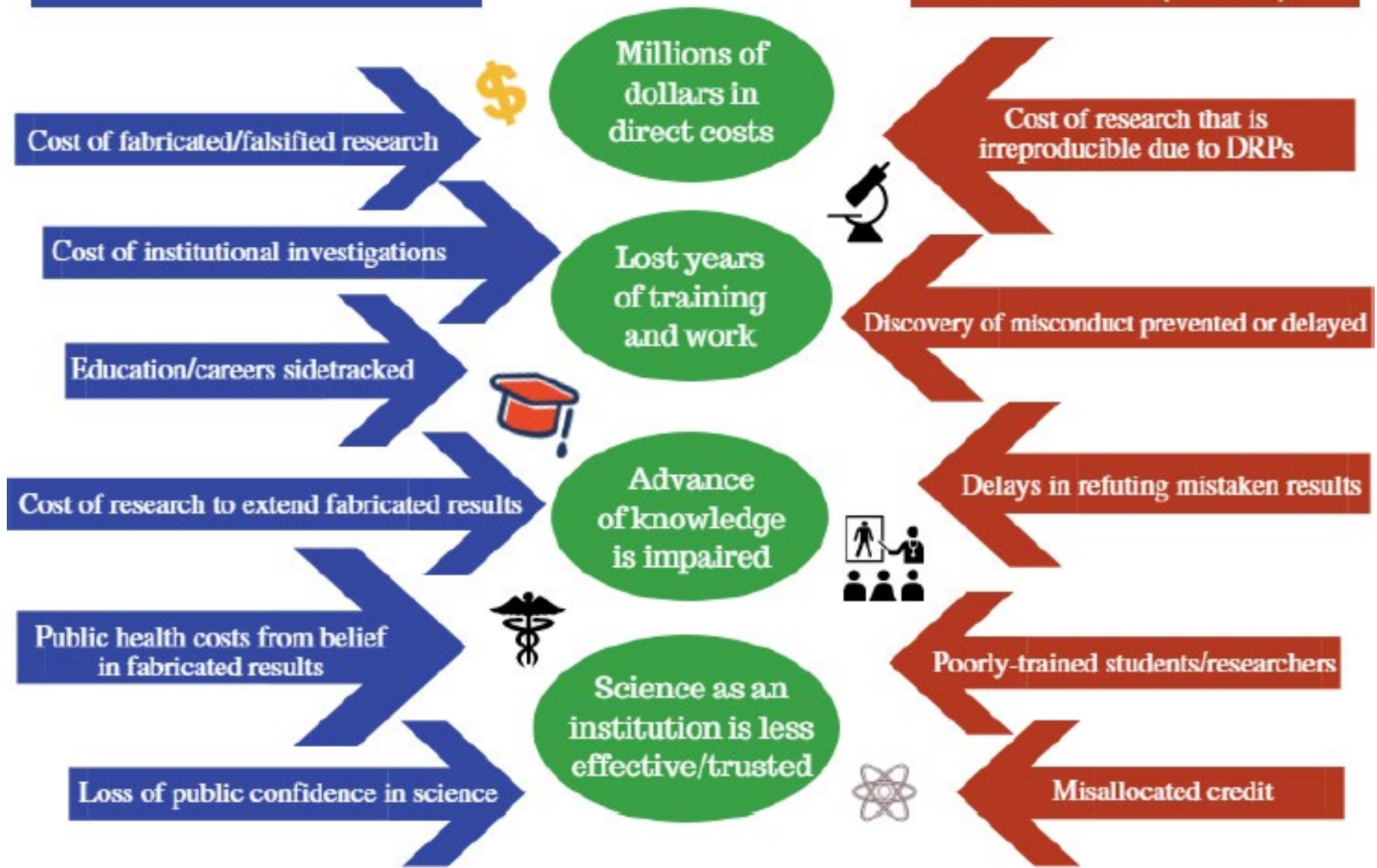
Duke University will pay \$112.5 million to the U.S. government to settle a lawsuit brought by a former employee who alleged that the university included falsified data in applications and reports for federal grants worth nearly \$200 million. The university will also take several steps “to improve the quality and integrity of research conducted on campus,” including the creation of a new advisory panel that will provide recommendations to the president, the Durham, North Carolina, institution said in [a statement released today](#).



Late last year, [ScienceInsider reported that Duke and federal prosecutors had moved to settle the case](#), but no details were available. It had drawn close attention from other universities, in large part because it involved [a federal whistleblower law, the False Claims Act, that has rarely been used to address scientific misconduct](#). Under the law, Duke biologist Joseph Thomas, who filed the lawsuit in 2014, could receive as much as 30% of any settlement reached between the United States and the university. ([RetractionWatch has reported Thomas will receive \\$33.8 million.](#))

# Research Misconduct

# Detrimental Research Practices (DRPs)



# WHAT DRIVES PEOPLE TO COMMIT RESEARCH MISCONDUCT?

These quotes come from people who admitted to research misconduct in closed Office of Research Integrity cases. Research misconduct is never justified, but it is important to recognize potential drivers of misconduct to better understand how it might be prevented.

## POOR SUPERVISION

“ I WAS SCARED  
TO GO TO [MY PI]. HE USED TO  
**SCREAM & YELL**  
AT ME WHEN THINGS DID NOT  
**WORK AS PLANNED.** ”



## INADEQUATE TRAINING

“ AFTER TWO YEARS OF A  
POSTDOCTORAL FELLOWSHIP...  
**I STILL DON'T KNOW**  
**HOW TO PROPERLY PUBLISH**  
WESTERN BLOT DATA. ”

## COMPETITIVE PRESSURES

“ I FELT IT WAS NECESSARY TO GET A  
**PAPER IN A HIGH-PROFILE JOURNAL**  
IN ORDER TO GET A  
**FACULTY POSITION.** ”



## PERSONAL CIRCUMSTANCES

“ [I] HAD BEEN APPLYING  
FOR A GREEN CARD AND FELT  
**PRESSURED**  
**TO MAKE A GOOD PAPER**  
AND GET GOOD PUBLICATIONS. ”



## INDIVIDUAL PSYCHOLOGY

“ HALF OF ME WANTED TO  
**MAKE [MY PI] PROUD.**  
THE OTHER HALF WAS  
**TERRIFIED OF FAILING...**  
**SO I FABRICATED**  
A PIECE OF DATA. ”



Seek support from a mentor if stressors are impacting your work.



### Questions?

Contact Penn State's Research Integrity Officer,  
Candice Yekel:  
Email: [researchconcerns@psu.edu](mailto:researchconcerns@psu.edu)  
Phone: 814-865-1775





# RESEARCH TRAINEES

## WHAT YOU NEED TO KNOW ABOUT RESEARCH MISCONDUCT

### Misconduct Is Not Limited to Published Research

Research misconduct is fabrication, falsification, or plagiarism<sup>1</sup> and can occur in publications, presentations, posters, and grant applications – whether they are funded or unfunded.

### Research Misconduct Affects Everyone

Tainted research can have negative implications on individuals in the lab, the larger research community, and in the public's trust in science.

### There Is a Professional You Can Contact

Most institutions refer to this person as the Research Integrity Officer (RIO)<sup>2</sup>. You can contact your RIO about questionable practices.

### Anyone Can Report Misconduct

Scientists are obligated to point out errors regardless of their position in the lab. The research community depends on you to report misconduct.

### Institutions Have Policies to Protect All Involved

Every institution has a requirement to take all reasonable and practical steps to protect the reputation of those who report research misconduct and anyone falsely accused.

### You Can Report Research Misconduct Anonymously

Anyone can contact ORI anonymously by phone or email to address concerns.

### Of ORI's research misconduct cases<sup>3</sup>:

12% were reported by research trainees

40% were committed by research trainees

240-453-8800

AskORI@hhs.gov

<sup>1</sup> For the full definition of research misconduct, see 42 C.F.R. § 93.103.  
<sup>2</sup> RIOs may have other titles, such as Chief Compliance Officer, Director of Compliance, Vice President/Dean of Research, or Director of Integrity.  
<sup>3</sup> Statistics based on closed ORI case findings from 2011–2015. Trainees are students and postdoctoral fellows.

Learn more about responsible research at: [ori.hhs.gov](http://ori.hhs.gov)




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# Principle UT Policies

## Research Integrity Policies

- [3364-70-01](#) Financial Conflict of Interest Policy for Sponsored Programs
- [3364-70-02](#) Responsible Conduct of Scholarship and Research  **UNDER REVISION**
- [3364-70-21](#) Integrity in Research and Scholarship and Procedures for Investigating Allegations of Misconduct in Research and Scholarship

# ARIO 2019

ATLANTA

September 16-18, 2019  
Emory University  
Atlanta, Georgia

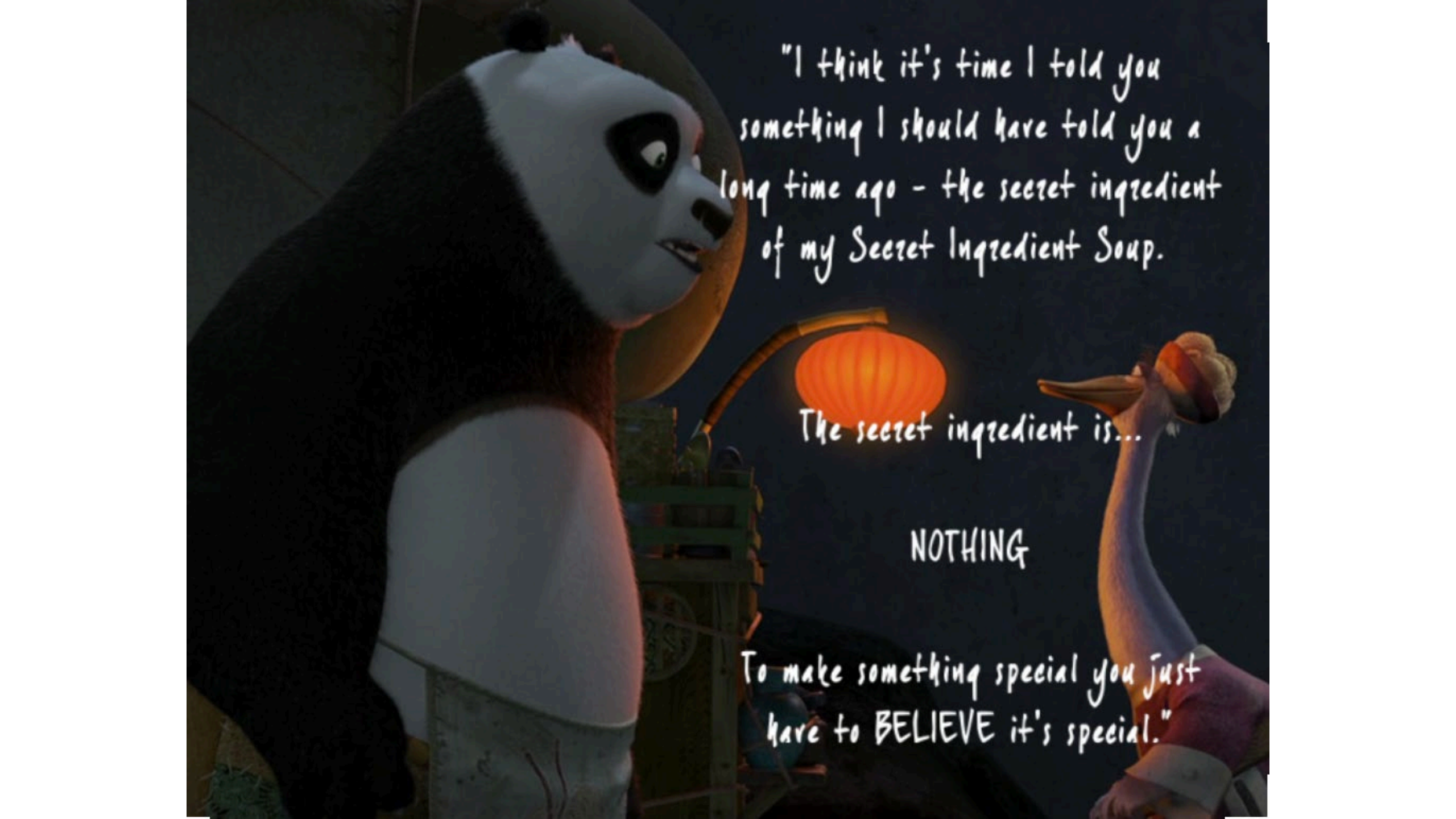
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EMORY



The OSTP Final Policy indicates that research misconduct is defined as “...fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results.” On the matter of confidentiality, the OSTP Policy states that:

“To the extent possible consistent with a fair and thorough investigation and as allowed by law, knowledge about the identity of subjects and informants is limited to those who need to know. Records maintained by the agency during the course of responding to an allegation of research misconduct are exempt from disclosure under the Freedom of Information Act to the extent permitted by law and regulation.”

A still from the animated film 'Kung Fu Panda'. Po the panda is on the left, looking towards Mr. Ping the penguin on the right. They are in a dark setting with a large, glowing orange lantern hanging between them. The background is dark with some faint structures.

"I think it's time I told you something I should have told you a long time ago - the secret ingredient of my Secret Ingredient Soup.

The secret ingredient is...

NOTHING

To make something special you just have to BELIEVE it's special."

(2) Research misconduct:

- (a) Research misconduct is fabrication, falsification, or plagiarism in proposing, performing, or reviewing research or scholarship, or in reporting research or scholarship results.
- (i) Fabrication is making up data or results and recording or reporting them.
  - (ii) Falsification is 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.
  - (iii) Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.
  - (iv) Deliberate violation of regulations is research misconduct and includes flagrant failure to adhere to or receive the required approvals for work under regulations of federal, state or local agencies, or University policies. Examples include, but are not limited to, guidelines for: protection of human and animal subjects, use of hazardous chemicals, biologicals, radioactive materials, and export controlled research.

- (b) Research misconduct does not include honest error or differences of opinion.
- (c) A finding of misconduct requires that there be a significant departure from accepted practices of the relevant research community. The misconduct must be committed intentionally, knowingly, or recklessly; and the allegation be proven by a preponderance of the evidence.

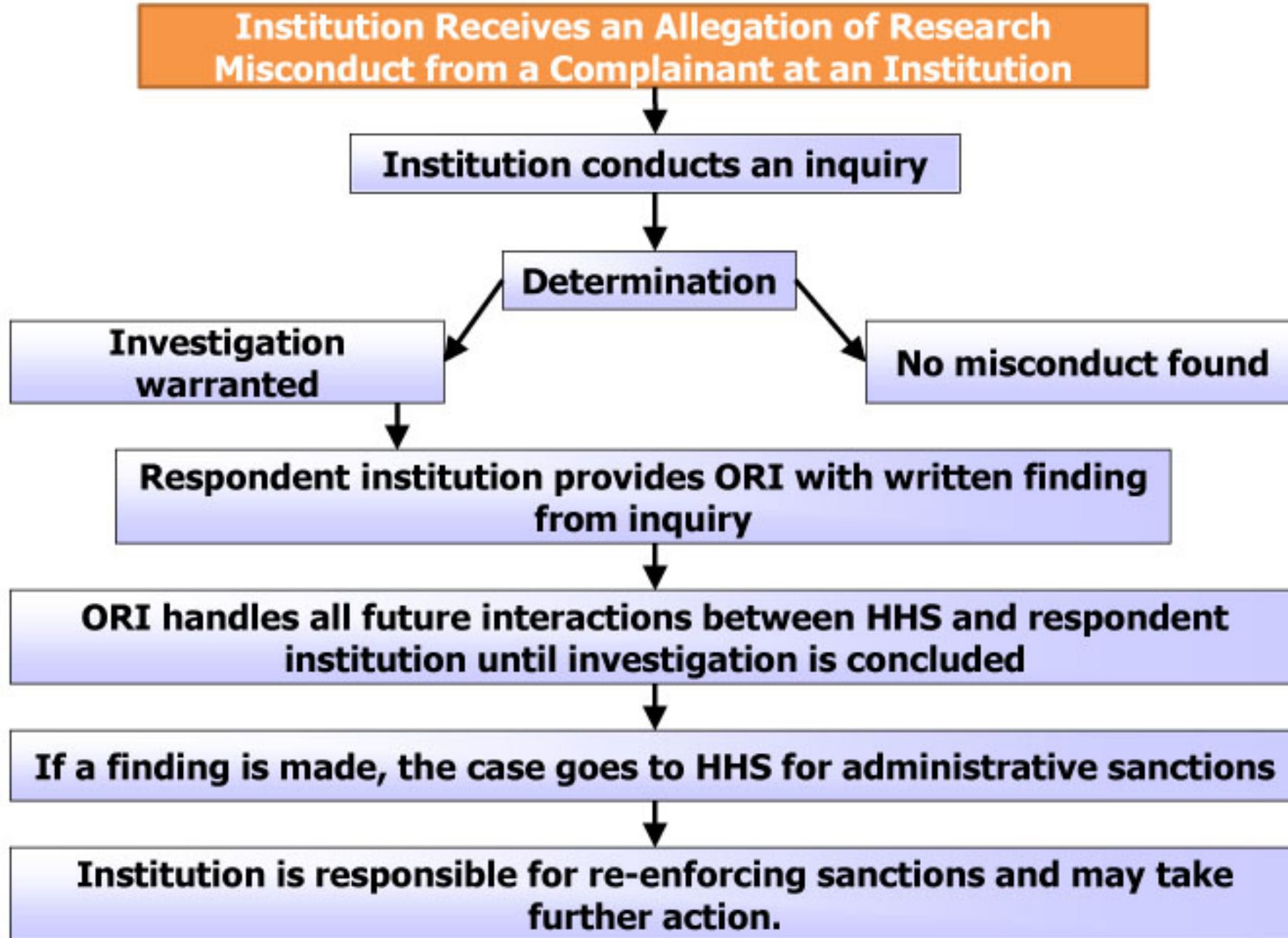



## (E) Responsibility

- (1) All institutional members who have good faith knowledge of an offense or a breach of research ethics are obligated to report it along with the basis for the allegation to the Research Integrity Officer or other officials at The University of Toledo (who will then report this to the Research Integrity Officer).

(b) Federal requirements


- (i) The National Science Foundation, the Public Health Service and other federal agencies have published formal regulations regarding the investigation of allegations of research misconduct involving activities supported by those agencies (See appendix A). Each of these regulations contains a definition of research misconduct, prescribes certain time limits for inquiries and investigations, and requires reporting to the agencies under certain conditions and at specified stages in the process.
- (ii) The RIO will determine the applicability of external regulations in each particular case. The University will comply with the requirements of the federal regulations.





(ii) The RIO will assess the allegation in consultation with at least three impartial senior faculty members (with a faculty appointment below the Dean level) identified by the RIO. The RIO will provide a description of allegations to the faculty members participating in assessment via electronic mail. Assessment will be initiated within 5 business days of receipt of the allegation.

(v) The RIO will form a committee to secure the necessary and appropriate assistance to ensure a thorough and authoritative evaluation of the allegation(s). The RIO will seek guidance from members of the University Research Council in the selection of the inquiry committee, which will consist of three (3) senior faculty members, including at least one member of the University Research Council or a Research Council designee, with the additional assistance, if needed, of an expert in the academic discipline involved, either from within the University or elsewhere. Individuals who have served in the allegation assessment will be excluded from the inquiry committee.





## Procedures for Reporting & Investigating Allegations of Serious Misconduct in Research and Scholarship

*(Taken from UToledo Policy 3364-70-21)*

The process listed below is abbreviated from the policy. For the complete process in its entirety please refer to policy 3364-70-21.

### **Reporting an Allegation**

Reporting suspected misconduct is a shared and serious responsibility of all members of the academic community. Allegations should not be made capriciously, but indications or evidence of fraud or misconduct must not be ignored.

Allegations of misconduct in research and scholarship and the basis for them shall be communicated confidentially to the extent permitted by law to the RIO. While it is preferable that allegations be made in writing, it is not necessary. In practice, allegations may be brought to the attention of other senior administrators of the University. All allegations brought to the attention of University officials are to be submitted to the RIO.

### **Process**

#### *Assessment*

An assessment is performed to determine if the allegation to determine if the UT policy definition of research misconduct.

#### *Inquiry*

An inquiry is the information gathering and fact-finding step in the process to determine whether the allegation warrants a formal investigation. It is intended as an extension of the allegation assessment process.

#### *Investigation*

An investigation is a formal examination of all relevant facts to determine if a major offense has taken place.

#### *Resolution*

Resolution and the outcome of the investigation