THE OFFICE OF RESEARCH INTEGRITY®

NEWSLETTER

US Department of Health and Human Services
Office of the Secretary, Office of the Assistant Secretary for Health

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IN THIS ISSUE:

Director's note…

Already a year has passed since I was asked to take the helm at the Office of Research Integrity (ORI). I knew it would be a steep learning curve for me and that whatever lay ahead would not be easy for any of us, but as we approach 2019, I'm optimistic about ORI's prospects.

Despite the high number of positions vacated since 2012, ORI's productivity has rebounded. For fiscal year (FY) 2018 (October 1, 2017–September 30, 2018), we have closed 42 cases (11 with research misconduct [RM] findings and 17 accessions). This compares to 22 cases (7 with findings) and 23 accessions in FY 2017, and 22 cases (7 with findings) and 19 accessions in FY 2016. FY 2015 remains our high point, however, with 32 cases closed (14 with findings) and 61 accessions. Our backlog remains well over 100 cases and accessions. Among the closures were three favorable Administrative Law Judge decisions (although one completed its final steps after October 1). We created six new infographics and video case studies on topics related to the responsible conduct of research (RCR) and the handling of research misconduct (RM), keeping our website content fresh for users worldwide. We also reached 145 participants through our Research Integrity Officer (RIO) boot camp, advanced topics boot camp, and two RCR instructors' workshops.

We still have much to do, but here are just a few reasons I'm optimistic:

- We're finally adding staff! CAPT Stephen Gonsalves, a U.S. Public Health Service Commissioned Corps officer, started with the Division of Education and Integrity (DEI) in October, bringing a strong background in clinical services and research from his prior federal positions. We are anxiously awaiting final paperwork for another DEI professional with strong evaluation skills. In addition, a new investigator will join us before the end of the year. Our announcement for the DIO director vacancy posted for federal employees earlier this month. We hope the DEI director vacancy announcement will post early in 2019.

MESSAGE from the DIRECTOR

- Almost a year ago, an internal brainstorming session resulted in a project to re-think ORI's databases, with an aim of creating 21st century capability in secure document handling, minimal hard-copy production, and an array of other features that should improve case handling and tracking. Almost all ORI staff are involved, reflecting the full scope of activity from receipt of allegations to filing after closure and everything in between.

- The level of commitment of ORI staff and our subject-matter contractor staff to the ORI mission remains strong. Notwithstanding the crushing workloads, investigators share enthusiasm to bring cases to closure, with extraordinarily meticulous presentations of their data and assessments of evidence for meeting the research misconduct definition.

I have noticed the frustration we all feel when an institution makes RM findings, but ORI chooses to decline to pursue (DTP) further action. ORI describes closures four ways: (1) with findings as prescribed under 42 C.F.R. Part 93, (2) DTP, (3) no misconduct, and (4) administrative closures. A no misconduct closure may still have issues of concern, as do many DTP closures. We do not always view these as "exoneration" of the respondents. In fact, an ORI finding or settlement does not affect institutional findings or administrative actions based on an institution's internal standards of conduct, as specified at 93.319(b).

An internal ORI evaluation over five years ago of 200 case closures indicated that about one-fifth were DTP. As our workload has grown, and as we have tried to address evidentiary and other procedural issues through our boot camps and outreach efforts, we should re-examine our data and see where we might address persistent gaps. I am optimistic that our work has made a difference.

We look forward to all that 2019 will bring, including: additional staff, new office space (more on that in a future newsletter!), and technology improvements—all the better for continuing to meet the demands of protecting PHS funds.

Wanda K. Jones, DrPH
Interim Director

ORI Funded Research Grant Leads to Published Article

Samuel Burton, Ph.D.

University of Southern Mississippi

Our recent article, "In defense of the questionable: Defining the basis of research scientists' engagement in questionable research practices," (Sacco, Bruton, & Brown, 2017) supported by our ORI grant (ORIIR160021-01-00), presents two important findings. We surveyed NIH-funded researchers from a range of scientific disciplines about 40 different ethically dubious research behaviors sometimes dubbed "questionable research practices" or "QRPs." Regarding each, we asked participants the extent to which the behavior was ethically defensible, the extent to which it was normative or common in their field, and the extent to which they would be willing to engage in the practice. Attitudes toward QRPs are important, because while the wrongness of research misconduct in the sense of fabrication, falsification and plagiarism is widely accepted, QRPs are more of an ethical "gray area." While studies show that most researchers admit to using them (e.g., Fanelli, Costas, & Larivière, 2015), QRPs can contribute to Type 1 error rates, among other problems, and are likely a significant factor in the so-called "replication crisis."

One of our chief findings is that researchers seem to categorize the ethics of QRPs in a two-fold way. Some QRPs (Factor 1 in our analysis) are considered more serious transgressions than others (Factor 2 in our analysis). Most of the Factor 1 behaviors, such as failing to disclose all potentially relevant conflicts of interest and overlooking or ignoring others' research misconduct, were predictably regarded as serious. The perceived lesser seriousness of many of the Factor 2 behaviors, however, was more surprising. These behaviors included selectively discussing only studies that supported the hypothesized result(s), or changing the design, methodology or results to please a sponsor. In some cases, as participants' narrative comments suggested, the ethics of Factor 2 behaviors are dependent on contextual details of the research project's design and aims, and this contextuality is responsible for their ethical ambiguity. (Empirical evidence for this connection is presented in Sacco, Brown, & Bruton, 2018, forthcoming.)

Our other main aim was to identify researcher motivations that are meaningfully correlated with their perceptions of QRP acceptability. As hypothesized, our participants generally found a QRP less acceptable to the extent they saw its use as harmful to science or society. Also as hypothesized, they saw QRPs as more defensible to the extent they perceived their use as common or necessary for advancement in participants' scientific disciplines. Interestingly, however, no correlation was found between views of QRP permissibility and perceived riskiness of being caught engaging in these practices. Perhaps this is because the risk of detection and punishment for most QRPs is taken to be small; further research is needed to explore the issue further.

These findings suggest several potentially promising interventions to deter QRP use and improve the integrity of scientific research. We are testing some of these interventions in follow-up studies currently being conducted.

References

Sacco, D.F., Bruton, S.V., & Brown, M. (2017). In defense of the questionable: Defining the basis of research scientists' engagement in questionable research practices. *JERHRE*, doi: 10.1177/1556264617743834.

Fanelli, D., Costas, R., & Larivière, V. 2015. Misconduct policies, academic culture and career stage, not gender or pressures to publish, affect scientific integrity. *PLoS ONE*, 10, e0127556.

Sacco, D.F., Brown, M., & Bruton, SV. (2018). Grounds for ambiguity: Justifiable bases for engaging in questionable research practices. *Science and Engineering Ethics*, doi: 10.1007/s11948-018-0065-x.

Summary of Grants Awarded

ORI is pleased to announce seven new grantees to the Research on Research Integrity (RRI) Grant Program. Three of the RRI grants (Harvard University, Syracuse University, and University of California Riverside) aim to develop additional tools for the forensic analysis of images for falsification or fabrication. These approaches have the potential for increasing the robustness and speed of the identification and analysis of various types of improper image manipulations. Two of the funded projects focus on fact-checking between new manuscripts and established reference materials. Cooper University Hospital aims to test an approach to identify selective outcome reporting in clinical trials; the University of Sydney aims to further develop the seek and blast tool for detecting research misconduct in published nucleotide sequence reagents through a semi-automated algorithm. The sixth grant (Virginia College of Osteopathic Medicine) focuses on the analysis of scientific meeting abstracts for potential violation of publication standards using software for text similarity. The final grant (Washington University) supports a project for examining the research integrity climate of the research lab by looking at the leadership and management practices of PIs as possible indicators of perceptions of research integrity within the lab. Information on these projects can be found at https://ori.hhs.gov/index.php/awards-data-2018.

ORI is also pleased to announce two new grantees to the RRI Conference Grant program. One grant is supporting the 6th World Conference on Research Integrity that will be hosted by the University of Hong Kong on June 2-5, 2019, and will be co-organized with RMIT University, Australia. Anticipating 300-500 participants, this conference will explore the application of recent research findings to develop new and better solutions to address "New Challenges for Research Integrity." The second grant will bring together key stakeholders from across the University of California (UC) system in an intensive two-day workshop to: (1) examine the specific logistical and conceptual challenges that arise in providing RCR education to international trainees; (2) identify effective ways to meet these challenges at the institutional level, and (3) explore potential best practices that might be developed system-wide to guide and support the individual UC campuses in their efforts to provide meaningful RCR training for international research trainees.

ORI anticipates that a Funding Opportunity Announcement (FOA) for new funding will be available in early 2019. For those interested in the ORI RRI Grant or RRI Conference Grant program, please follow ORI @HHS_ORI.

Co-Sponsor Opportunities Announcement

In addition to our conference grant program, ORI sponsors workshops and conferences several times a year such as the Research Integrity Officer (RIO) Boot Camps and Responsible Conduct of Research (RCR) Workshops. These events are successful because of co-sponsors who share our commitment to fostering integrity in research. ORI has recently released Notice of Opportunity to Co-sponsor ORI Events in the Federal Register [83 FR 2018-17615] with guidelines for how to express interest in co-sponsoring an event.

Expressing Interest: Each co-sponsorship expression of interest shall describe: (1) the entity's interest and goals in promoting research integrity or the RCR, (2) the entity's prior experience and current readiness to undertake the responsibilities described above, (3) the type of event(s) that the entity is interested in co-sponsoring with ORI, (4) facilities available for the event(s), and (5) any current constraints with respect to dates or facilities. The type of event may be an event from ORI's regular program of recurring events (e.g., RCR Instructor's Workshop) or a special topic of mutual interest to be developed jointly. The expression of interest should be a bulleted outline, no more than two pages in length, single-spaced, and 11-point font. An entity may submit an expression of interest individually or jointly with other entities describing their relative contributions. The expression of interest or any related questions should be submitted to tracey.randolph@hhs.gov or AskORI@hhs.gov.

Evaluation Criteria: After engaging in exploratory discussions with potential co-sponsors who respond to this notice, the following considerations will be used by HHS officials, as appropriate and relevant, to select the co-sponsor(s):

- qualifications and capability to fulfill co-sponsorship responsibilities
- suitability of the location of the proposed event in terms of the overall geographical distribution of ORI events
- potential for reaching, generating, and engaging adequate number of attendees from stakeholders
- availability and description of facilities needed to support the workshop
- availability of administrative support for the logistics of hosting such workshops

The selected co-sponsoring organization(s) shall furnish the necessary personnel, materials, services, and facilities to administer its responsibility for the workshop. These duties will be outlined in a co-sponsorship agreement with ORI that will set forth the details of the co-sponsored activity, including the requirements that any fees collected by the co-sponsor shall be limited to the amount necessary to cover the co-sponsor's related event expenses. This co-sponsorship agreement does not represent an endorsement by ORI of an individual co-sponsor's policies, positions, or activities. Additionally, this agreement will not affect any determination concerning activities by the co-sponsors that are regulated by ORI.

"Honesty, Accuracy, Efficiency, Objectivity…shared values of Responsible Conduct of Research that bind all researchers."

Upcoming events

The Division of Education and Integrity (DEI) has been actively working on the ORI event schedule for the 2018-2019 academic year. We anticipate co-sponsoring one RIO Boot Camps and one RCR Instructor Workshop. Contact Tracey Randolph (tracey.randolph@hhs.com) if you are interested in attending or have any questions.

ORI also has two special topics meetings on the schedule: (1) a workshop on RCR program evaluation at the Association of Professional and Practical Ethics (APPE) National Meeting in Baltimore, MD, February 2019, and (2) a meeting for Senior Institutional Officials Meeting in Chicago, IL, May 2019.

First ALJ Hearing Under the 2005 Regulation

The Office of Research Integrity (ORI) and the Office of the General Counsel (OGC) worked collaboratively on the research misconduct case, ORI v. Kreipke, which resulted in the first-ever reckless research misconduct finding in an ORI case. In this case, ORI issued a charge letter to Respondent, enumerating findings of research misconduct and proposing HHS administrative actions. Respondent requested a hearing before an Administrative Law Judge (ALJ) of the Departmental Appeals Board to dispute the findings and proposed administrative actions. The ALJ held a three-day hearing to receive witness testimony and exhibits. The hearing was the first one held since the Department issued its revised research misconduct regulations in 2005.

On May 31, 2018, the ALJ issued his recommended decision, which found that Respondent recklessly caused or permitted 23 instances of research misconduct in his three grant applications, two articles on which he was the first listed author, and two posters on which he was the first listed author. The ALJ recommended a five-year debarment and a five-year prohibition from serving in any capacity to the Public Health Service (PHS), including but not limited to, service on any PHS advisory committee, board, or peer review committee, or as a consultant.

Under the regulation, the ALJ's recommended decision went to the Assistant Secretary for Health (ASH). The ASH forwarded the ALJ's decision, unmodified, to the HHS Debarring Official, who is the ultimate legal deciding official for debarments. The HHS Debarring Official issued a final notice of a five-year debarment against Respondent on July 13, 2018. https://ori.hhs.gov/content/case-summary-kreipke-christian-w

We believe the ALJ's decision is likely to be helpful to the research community, because it offers a real world example of reckless research misconduct and suggests definitions for the regulatory terms "intentionally," "knowingly," and "recklessly." As a regulatory matter, however, such definitions would have to be vetted via the rulemaking process before they are adopted in the Department's research misconduct regulation.

Submitting Electronic Records to ORI

As both the research community and the ORI transition to an increasingly paperless world, we often receive questions from RIOs asking how they should send us reports and evidence. Earlier this month, we developed an open letter to RIOs specifying some practices that have been working well. This letter is posted on the ORI website under "ORI updates."

When we receive paper records from institutions, valuable time is diverted to digitizing them. Sending reports and attachments on digital media (e.g., thumb drive, external hard drive) via a carrier that provides tracking has worked well. In addition, it is helpful if each appendix or attachment is assigned its own file and named in such a way that it is easily identifiable. For more suggestions, see the full letter at https://ori.hhs.gov/submitting-electronic-records-ori.

New misconduct reporting responsibilities

ORI has received several questions seeking additional clarity about the relationship between 42 C.F.R. Part 93 and NIH's reporting responsibilities for communicating research misconduct to the NIH Office of Extramural Research. 42 C.F.R. 93.108 provides in pertinent part, "Disclosure of the identity of respondent and complainants in research misconduct proceedings is limited, to the extent possible, to those who need to know, consistent with a thorough, competent, objective and fair research misconduct proceeding, and as allowed by law." NIH has issued a policy explaining when NIH has a need to know about matters related to research misconduct proceedings. Institutions may consider that NIH policy when determining disclosures to those who need to know, consistent with 42 C.F.R. 93.108.

Source URL: https://grants.nih.gov/grants/guide/notice-files/NOT-OD-19-020.html

CASE SUMMARIES OF RESEARCH MISCONDUCT FINDINGS

Findings of Research Misconduct by the Department of Health and Human Services, Office of the Secretary

Case Summary: Elqutub, Maria Cristina Miron

Based on Respondent's admission, the report of an inquiry conducted by the University of Texas MD Anderson Cancer Center (MDACC), and analysis conducted by the Office of Research Integrity (ORI) in its oversight review, ORI found that Ms. Maria Cristina Miron Elqutub, Research Interviewer, MDACC, engaged in research misconduct in research supported by National Institute of Dental and Craniofacial Research (NIDCR), National Institutes of Health (NIH), grant U01 DE019765-01.

ORI found that Respondent engaged in research misconduct by intentionally and knowingly falsifying and/or fabricating data that were included in the following two (2) published papers and two (2) grant progress reports submitted to NIDCR, NIH.

Ms. Elqutub entered into a Voluntary Settlement Agreement and voluntarily agreed, beginning on April 26, 2018:

(1) to have her research supervised for a period of three (3) years; Respondent agreed to ensure that prior to the submission of an application for U.S. Public Health Service (PHS) support for a research project on which Respondent's participation is proposed and prior to Respondent's participation in any capacity on PHS-supported research, the institution employing her must submit a plan for supervision of Respondent's duties to ORI for approval; the supervision plan must be designed to ensure the scientific integrity of Respondent's research contribution; Respondent agreed that she will not participate in any PHS-supported research until a supervision plan is submitted to and approved by ORI; Respondent agreed to maintain responsibility for compliance with the agreed upon supervision plan;

(2) that for a period of three (3) years, any institution employing her must submit, in conjunction with each application for PHS funds, or report, manuscript, or abstract involving PHS-supported research in which Respondent is involved, a certification to ORI that the data provided by Respondent are based on actual experiments or are otherwise legitimately derived and that the data, procedures, and methodology are accurately reported in the application, report, manuscript, or abstract; (3) if no supervisory plan is provided to ORI, to provide certification to ORI on an annual basis for a period of three (3) years that she has not engaged in, applied for, or had her name included on any application, proposal, or other request for PHS funds without prior notification to ORI;

(3) to exclude herself voluntarily 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 for a period of three (3) years; and (5) to the correction or retraction of PLoS One 10(6):e0128753, 2015 Jun 2.

Source URL: https://ori.hhs.gov/case-summary-*elqutub-maria-cristina-miron*

Case Summary: John, Gareth

Based on Respondent's admission, the report of an inquiry and investigation conducted by the Icahn School of Medicine at Mount Sinai (ISMMS), and additional analysis conducted by the Office of Research Integrity (ORI) in its oversight review, ORI found that Dr. Gareth John, Professor, Department of Neurology, ISMMS, engaged in research

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CASE SUMMARIES OF RESEARCH MISCONDUCT FINDINGS

CASE SUMMARIES

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misconduct in research supported by the National Institute of Neurological Disorders and Stroke (NINDS), National Institutes of Health (NIH), grants R01 NS056074 and R01 NS062703.

ORI found that Respondent engaged in research misconduct by knowingly and intentionally falsifying data reported in Development 141(12):2414-28, 2014 Jun. In addition to making an admission, Respondent cooperated fully with ISMMS and ORI and has expressed remorse for his actions. As a result of this admission, Respondent has notified Development journal that corrections to figures in the paper, but not to the text, including the conclusions in Development 2014 are required.

Dr. John entered into a Voluntary Settlement Agreement and voluntarily agreed, beginning on April 26, 2018:

(1) to have his research supervised for a period of one (1) year; Respondent agreed that prior to submission of an application for U.S. Public Health Service (PHS) support for a research project on which the Respondent's participation is proposed and prior to Respondent's participation in any capacity on PHS-supported research, Respondent shall ensure that a plan for supervision of Respondent's duties is submitted to ORI for approval; the supervision plan must be designed to ensure the scientific integrity of Respondent's research contribution; Respondent agreed that he shall not participate in any PHS-supported research until such a supervision plan is submitted to and approved by ORI; Respondent agreed to maintain responsibility for compliance with the agreed upon supervision plan;

(2) that for one (1) year, any institution employing him shall submit, in conjunction with each application for PHS funds, or report, manuscript, or abstract involving PHS supported research in which Respondent is involved, a certification to ORI that the data provided by Respondent are based on actual experiments or are otherwise legitimately derived and that the data, procedures, and methodology are accurately reported in the application, report, manuscript, or abstract;

(3) if no supervisory plan is provided to ORI, to provide certification to ORI at the conclusion of the supervision period that he has not engaged in, applied for, or had his name included on any application, proposal, or other request for PHS funds without prior notification to ORI;

(4) to exclude himself voluntarily 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 for a period of one (1) year; and

(5) to follow up with the journal editor regarding his previous request to correct the following paper to ensure that the corrections are made:

- Development 141(12):2414-28, 2014 Jun

Source URL: https://ori.hhs.gov/case-summary-*john-gareth*

Case Summary: Kreipke, Christian

Notice is hereby given that on July 13, 2018, the U.S.Department of Health and Human Services (HHS) Debarring Official, on behalf of the Secretary of HHS, issued a final notice of debarment based on an Administrative Law Judge's (ALJ's) findings of research misconduct against Christian Kreipke, Ph.D., former Research Associate Professor, Wayne State University (WSU). Dr. Kreipke engaged in research misconduct in research supported by National Institute of Neurological Disorders and Stroke (NINDS), National Institutes of Health (NIH), grants R01 NS039860 and R01 NS064976-01A2.

ORI issued a charge letter, and Dr. Kreipke (Respondent) subsequently requested a hearing before an ALJ of the Departmental Appeals Board to dispute the findings. After a hearing before the ALJ, he issued his recommended decision, finding

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CASE SUMMARIES OF RESEARCH MISCONDUCT FINDINGS

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that Respondent recklessly caused or permitted twenty-three (23) instances of research misconduct in his three (3) grant applications, two (2) articles on which he was the first listed author, and two (2) posters on which he was the first listed author. The ALJ held that appropriate administrative actions included a five-year debarment from any contracting or subcontracting with any agency of the United States and from eligibility for or involvement in nonprocurement programs of the United States referred to as "covered transactions." 2 C.F.R. parts 180 and 376. The ALJ held it was an appropriate administrative action to also impose a five-year prohibition from serving in any capacity to the U.S. Public Health Service (PHS), including but not limited to, service on any PHS advisory committee, board, or peer review committee, or as a consultant. The ALJ noted that retraction of the articles already had occurred by the time of his recommended decision.

Under the regulation, the ALJ's recommended decision went to the Assistant Secretary for Health, who did not modify it and forwarded it to the HHS Debarring Official, who is the deciding official for the debarment. The ALJ decision constituted the findings of fact to the HHS Debarring Official in accordance with 2 C.F.R. § 180.845(c). On July 13, 2018, the HHS Debarring Official issued a final notice of debarment to begin on July 13, 2018, and end on July 12, 2023.

Thus, the research misconduct findings became effective, and the following administrative actions have been implemented for a period of five (5) years, beginning on July 13, 2018:

(1) Dr. Kreipke is debarred from any contracting or subcontracting with any agency of the United States Government and from eligibility or involvement in nonprocurement programs of the United States Government referred to as "covered transactions" pursuant to HHS' Implementation (2 C.F.R. Part 376) of Office of Management and Budget (OMB) Guidelines to Agencies on Governmentwide Debarment and Suspension (2 C.F.R. Part 180); and

(2) Dr. Kreipke 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.

Source URL: https://ori.hhs.gov/content/case-summary-kreipke-christian-w

Case Summary: Sen, Shiladitya

Based on the report of an investigation conducted by The Ohio State University (OSU) and analysis conducted by the Office of Research Integrity (ORI) in its oversight review, ORI found that Mr. Shiladitya Sen, former graduate student, OSU, engaged in research misconduct in research supported by National Institute of General Medical Sciences (NIGMS), NIH, grant R01 GM083114.

ORI found that Respondent engaged in research misconduct by knowingly and intentionally falsifying and/or fabricating data reported in the following published paper, his Ph.D. thesis, a poster presentation, and his mentor's grant applications submitted to NIGMS, NIH. ORI found that Respondent knowingly and intentionally falsified and/or fabricated gene sequencing and high throughput thermal scanning (HTTS) data for sequence-stability relationship of Rop protein variants in nineteen (19) figures, ten (10) tables, and related text included in a poster presentation, his Ph.D. thesis, and two (2) NIH grant applications. ORI also found that Respondent knowingly and intentionally falsified and/or fabricated HTTS data for thermodynamic effects of somatic mutation in antibodies 93F3 and OKT3 in ten (10) figures, two (2) tables, and related text included in PNAS 2013 and his thesis.

Mr. Sen entered into a Voluntary Exclusion Agreement and voluntarily agreed for a period of three (3) years, beginning on May 16, 2018:

(1) to exclude himself voluntarily from any contracting or subcontracting with any agency of

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CASE SUMMARIES OF RESEARCH MISCONDUCT FINDINGS

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the United States Government and from eligibility for or involvement in nonprocurement programs of the United States Government referred to as "covered transactions" pursuant to HHS' Implementation (2 C.F.R. Part 376) of OMB Guidelines to Agencies on Governmentwide Debarment and Suspension, 2 C.F.R. Part 180 (collectively the "Debarment Regulations");

(2) to exclude himself voluntarily 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.

Source URL: https://ori.hhs.gov/case-summary-sen-shiladitya

Case Summary: Wang, Li

Findings of research misconduct have been made on the part of Li Wang, Ph.D., Professor of Physiology and Neurobiology, University of Connecticut (UConn) (Respondent). Dr. Wang engaged in research misconduct by recklessly including false data in National Institute of Diabetes and Digestive and Kidney Diseases (NIDDK), National Institutes of Health (NIH), grant applications 1 R01 DK118645-01A1, 1 R01 DK116203-01, 1 R01 DK114804-01, and 2 R01 DK080440-09A1 and National Institute of General Medical Sciences (NIGMS), NIH, grant applications 1 R01 GM125140-01 and 1 R01 GM126685-01. None of the applications received funding, and three were withdrawn before review (1 R01 DK114804-01, 1 R01 DK116203-01, and 1 R01 DK118645-01A1).

In addition to making an admission, Respondent cooperated fully with UConn and ORI, has expressed remorse for her actions, and took full responsibility for her reckless behavior.

Dr. Wang entered into a Voluntary Settlement Agreement and voluntarily agreed for a period of one (1) year, beginning on August 14, 2018:

(1) to have her research supervised; Respondent agrees that prior to the submission of an application for U.S. Public Health Service (PHS) support for a research project on which the Respondent's participation is proposed and prior to Respondent's participation in any capacity on PHS-supported research, Respondent shall ensure that a plan for supervision of Respondent's duties is submitted to ORI for approval; the supervision plan must be designed to ensure the scientific integrity of Respondent's research contribution; Respondent agrees that she shall not participate in any PHS-supported research until such a supervision plan is submitted to and approved by ORI; Respondent agrees to maintain responsibility for compliance with the agreed upon supervision plan;

(2) that any institution employing her shall submit, in conjunction with each application for PHS funds, or report, manuscript, or abstract involving PHS-supported research in which Respondent is involved, a certification to ORI that the data provided by Respondent are based on actual experiments or are otherwise legitimately derived and that the data, procedures, and methodology are accurately reported in the application, report, manuscript or abstract; and

(3) to exclude herself voluntarily 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.

Source URL: https://ori.hhs.gov/content/case-summary-wang-li

ORI Releases New Infographics

ORI's Division of Education and Integrity (DEI) has released a new series of infographics and integrity in science research videos. This new series was created to continue DEI's mission of improving access to educational materials on ethical issues that can arise in scientific research. The video case studies highlight six areas scientific researchers at any level of their scientific career may face, such as grant applications, research misconduct, plagiarism, and mentorship. These scenarios pose thought-provoking questions to encourage dialogue on how a situation could be navigated to help scientists develop ethical responses.

The infographics and videos can serve as a daily reminder about the responsible conduct of research (RCR) and how to navigate issues related to research misconduct.

Here is a list of present and future topics:

September

- Authorship Practices to Avoid Conflicts
- The Left-Out Author

October

- 5 Qualities of Good Research Mentors
- The Bad Role Model

November

- Applying for a Grant? DON'T TAKE SHORTCUTS
- The Grant Application Game: How far will you go to get funded?

December

- It's a Slippery Slope to Research Misconduct
- Breaking Protocol

January

- You've Been Accused of Research Misconduct – Now What?
- Caught Cheating

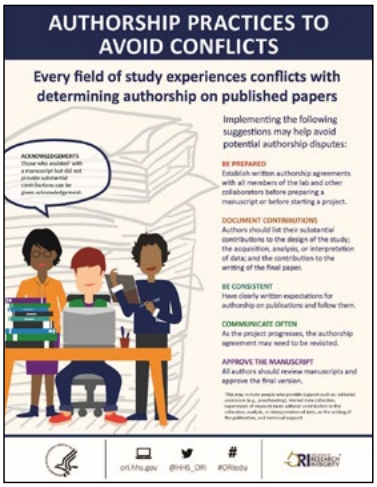
February

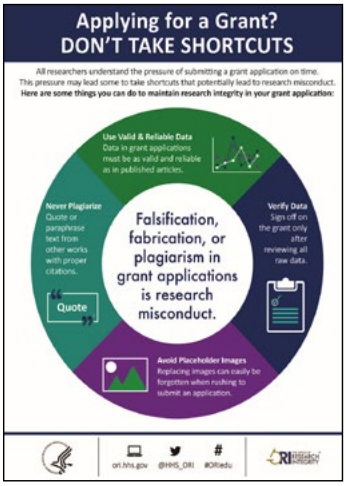
- Tips for Avoiding Plagiarism
- Ruined Internship: The Consequences of Plagiarism

The creation of this set of educational materials was a collaborative effort with ORI's education and communication fellow Monika Thomas and staff.

Our hope is that the infographics and videos provided on our website will help supplement other tools currently used within the research community, in addition to the hands-on educational training we provide.

The video case studies can be viewed and downloaded from the ORI website: https://ori.hhs.gov/index.php/integrity-scientific-research-videos





ORI is providing these new infographics in a scalable PDF format to allow universities and other research institutions to download them and print posters for display on campus and in laboratories. This and other infographics can be downloaded from https://ori.hhs.gov/infographics

Advancing Ethical Research Conference PRIM&R

The 2018 Advancing Ethical Research Conference (AER18) was held on November 15, 2018 in San Diego, California. AER18 attendees were able to discuss and learn about current ethical dilemmas in medicine and network with peers. Attendees were able to meet with ORI staff and ask questions related to the educational materials created by DEI staff members. Educational materials included DVD's and infographics focused on research integrity issues. Scott Moore, ORI's Deputy Director had the opportunity to present twice at the conference: first, as an open dialogue lunch session discussing issues relevant to ORI stakeholders and new/ongoing initiatives at ORI; second, he presented on a panel discussion with Lisa Buchanan, Compliance Officer at Office of Human Rights Protections, and Kate Gallin Heffernan, Partner; Chair, Academic and Clinical research Group, Verrill Danna LLP, on the regulatory Intersection of research misconduct and human subjects protections.

Scott Moore, ORI's deputy Director speaking with attendees about ORI's current initiatives.

Monika Thomas and Stephen Gonsalves, ORI Division of Education and Integrity staff at the Advancing Ethical Research Conference 2018.

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