

Office of Research Integrity

NEWSLETTER

The *ORI Newsletter* is published quarterly by the Office of Research Integrity, Office of the Secretary of Health and Human Services, and distributed to applicant or awardee institutions and PHS agencies to facilitate pursuit of a common interest in handling allegations of misconduct and promoting integrity in PHS-supported research.



IN THIS ISSUE

Contributions Invited	2
Stress Reduction in Labs	3
Med School COI Policies	4
Annual Report Due	5
Image Manipulation	6
Case Summaries	7

Graduate Schools Developing RCR Education Programs

Ten institutions have received awards to develop demonstration projects designed to institutionalize responsible conduct of research (RCR) education for graduate students and faculty through a two-year collaboration between the Council of Graduate Schools (CGS) and ORI.

Thirty-five institutions submitted applications to the program by the August 20, 2004 deadline. You can keep informed about the project by visiting the project web site at <http://www.cgsnet.org/>.

The following institutions received awards of \$15,000 each to develop the demonstration projects; each institution is providing additional funding:

- Arizona State University
- Duke University
- Florida State University
- New York Medical College
- Old Dominion University
- University of Kansas
- University of Missouri-Columbia
- University of New Hampshire
- University of Rhode Island
- University of Utah

See Graduate, page 2

Training of Postdocs May Need Rethinking

Postdocs are an essential part of the scientific enterprise but their treatment does not reflect well on the community of scientists and engineers because it does not demonstrate the respect owed to future colleagues, according to Shirley Malcom, Head of the AAAS Directorate for Education and Human Resources Program.

Malcom expressed her views in a Forum article, "A Dream Deferred or Realized? Enhancing the Postdoctoral Experience

for Scientists and Engineers" in *ASM News* (V. 70, No. 8, 2004) published by the American Society for Microbiology.

"Rather than thinking that we just have to repair the postdoctoral experience, many of my colleagues seem to be arguing for rethinking the entire process of which postdoctoral training is one component," she wrote. "Should we think of restructuring the entire postbaccalaureate period to divide the

See Postdoctoral, page 2

NIH Seeks Moratorium on Consulting

The National Institutes of Health is pursuing a temporary regulation on outside activities that would prohibit all NIH employees from consulting with pharmaceutical and biotechnology companies for at least one year to give the agency time to develop a policy on outside activities that safeguards against conflicts of interest.

The proposed regulation will prohibit both any new and already ongoing

consulting arrangements with pharmaceutical and biotechnology companies. NIH will work with employees to assure a smooth transition out of their ongoing obligations and relationships with such companies, a spokesperson said. The regulation is expected to be published by December 31, 2004. Until then, the current rules with respect to outside activities remain in effect.

See NIH, page 5

Graduate Schools Address RCR Education Programs *(from page 1)*

The 25 institutions that did not receive awards have been invited to remain in the project as “affiliates.” “Most of these institutions continue to plan some level of RCR activity using their own institutional funds, and many have already begun RCR projects,” Dean Paul Tate, CGS Project Director, said. “These institutions have been invited to participate in electronic discussions with each other and with the institutions receiving awards, to attend sessions on RCR at CGS national meetings, to share what they have learned about RCR training with awardees and other affiliates, and to provide data for the CGS publication on the project after its completion.”

Three RCR events were held during the CGS Annual Meeting in Washington earlier this month: a pre-meeting workshop on Ethics and Responsible Conduct of Research; a breakfast for institutions receiving awards in the RCR project, and a session on the RCR project.

“Applications submitted to the RCR project required the graduate dean to be the project director,” Dean Tate said “because graduate deans set the priorities affecting the training of graduate students and they are the institutional officers best positioned to lead and coordinate new projects that span departments and disciplines.”

“Besides,” Dean Tate added, “graduate deans are convinced of the importance of RCR training. At the Summer Workshop and New Deans Institute last July 70 deans attended a session devoted to the RCR project.”

This collaborative effort is expected to develop a corps of graduate deans that will exercise continuing leadership in RCR education. Additionally, a monograph on the demonstration projects and results will be published.

Dean Tate may be contacted at ptate@cgs.nche.edu; phone 202-223-3791.

ORI Newsletter Invites Contributions

ORI is opening the columns of this newsletter to the research community to broaden and expand communications regarding the responsible conduct of research, research integrity and research misconduct.

“We know there is a lot more happening in this country and the world regarding those topics that currently is not reported,” Larry Rhoades, Director, Division of Education and Integrity, ORI, said. “We also know there are more people thinking about and researching these topics who do not have outlets for their efforts. So we are ready to expand the newsletter to accommodate such contributions.”

The contributions may take many forms—news articles, commentaries, opinion pieces, research findings, calls for papers, conference announcements, and case summaries on misconduct and integrity issues.

News articles should focus on the new, pioneering, innovative actions that promote the responsible conduct of research, research integrity, or the prevention, detection, reporting or investigation of research misconduct. These actions may involve, but are not limited to, the development of organizational infrastructure, the adoption of guidelines or policies, the creation of websites, the institution of training programs, the conduct of self-assessments, and the establishment of awards.

Generally, contributions should be less than 2-pages, single spaced. Contributions must be submitted electronically. Deadlines are January 31, April 30, July 31 and October 31 for the March, June, September and December issues. By-lines will be given on accepted contributions that identify the authors and their organizations. ORI reserves the right to edit and submit the contributions to review.

Postdoctoral Training *(from page 1)*

time across coursework, skills development, research, and career exploration?”

For the near term, she suggested the following repairs, (1) require a minimum base salary and provisions for benefits for postdocs, (2) include a professional work plan for postdocs supported by federal funds with agreed-upon benchmarks for both principal investigators and postdocs, and (3) begin to base considerations for subsequent training support to principal investigators on the training and outcome records of their post-doctoral students.”

“It is really hard to keep oneself psyched up when the gratification is delayed and when the pay and working conditions are substandard,” Malcom said.

She continued, “. . . postdoctoral positions are generally not structured in such a way that there are opportunities

to acquire the array of skills that makes a scholar attractive to predominantly teaching institutions. Contrary to what may have been conventional wisdom, a Ph.D. is not sufficient preparation for a teaching career.”

She added, “Even in terms of a research career, the question remains whether postdocs are given the range of experiences that prepares them to become independent investigators. It entails learning how to write grant proposals, to develop budgets, to estimate levels of effort, to understand equipment-purchasing procedures, and so on . . . Is there anyone who can help them with patents? What about business development?”

“It is critical that we make clear to all the expectation that the postdoc is a period of continued training; that research is one, but not the only, aspect of that training,” she stated.

The Food Offense: A Technique for Stress Reduction in the Laboratory

By Howard Young, Principal Investigator, Laboratory of Experimental Immunology, National Cancer Institute

(Editor's Note: This is a reprint from the September-October 2004 issue of *The Catalyst* which is published by NIH. The author and editor have granted permission.)

Maintaining positive interactions between laboratory personnel is a crucial aspect of managing a laboratory.

As laboratories become more crowded, personality conflicts invariably arise and when they do, the entire laboratory can suffer from the increased stress and tension that may occur.

I report here a novel and unique method for reducing stress in the laboratory. This method, termed a food offense, has been used by my laboratory for many years and has proven successful in defusing the occasional stressful laboratory incident.

I first published "Food Offense" in 1993 in a now-defunct technology newsletter and again in a newsletter of which I am the editor. It has been sighted taped to a wall in a laboratory in Rome and paraphrased in a business section article of a major metropolitan newspaper. Here it is updated for the 21st century.

The Offense

A food offense is defined as a situation in which the actions of one member of the laboratory lead to the disruption of the work of other members of the laboratory. While there may be a strong debate regarding whether a specific act is a food offense, a majority vote in the lab is sufficient to declare a food offense. Examples of food offenses are as follows:

1. Using up a common lab reagent (such as gel electrophoresis buffer) and not remaking it before the next person needs it.
2. Leaving common equipment (such as a tissue culture hood) so messy that the next user must clean it before it can be used.
3. Using isotope and not recording its removal—so that the next user winds up not having as much as expected.
4. Stripping a blot for someone, but forgetting about it—so that the blot burns after the buffer boils away (this actually happened in the older days when people actually did blots).
5. Providing the wrong restriction map with any plasmid (or not providing any restriction map at all).

6. Tearing a journal article out of a journal before anyone else has read it.
7. Providing the wrong control sample for the latest microarray experiment.
8. Scheduling a lab meeting but forgetting to show up despite the fact everyone else managed to remember.
9. Neglecting to tell the lab that the cell line you work with is contaminated with Mycoplasma.
10. Starting a gel for someone but plugging the electrodes in backwards.
11. Forgetting to turn off a gel for someone.
12. Spilling radioisotope and not cleaning it up or telling anyone that a spill occurred (extreme).
13. Leaving a big, heavy rotor in a centrifuge when you know the next person to use it is 5' 2" tall, weighs 90 pounds, and needs the smaller rotor.
14. Breaking any piece of equipment and not telling anyone.
15. Leaving the flow cytometer on all night.
16. Not showing up for two days and never telling anyone that you were going to be away.
17. Holding a manuscript that you promised to review well beyond its due date.
18. Playing really bad music on the lab CD player (this is often subject to a major debate).
19. Falling asleep in a lab meeting when a member of your group is presenting data (people over 55 may be exempt from this rule).
20. Borrowing a reagent from another lab and either never replacing it or replacing it six months later.

The Offering

When a food offense is committed and the individual is identified, the individual is given two options:

- Option 1: Start looking for another job.*
Option 2: Bring in food for the lab.

1. Homemade food, preferably containing chocolate, is desirable but not absolutely required.
2. Certain foods, such as Vegemite from Australia or gefilte fish, do not satisfy a food offense.

3. Healthy foods might qualify but only if they taste like something fattening.
4. Trying a recipe for the first time should generally be avoided unless you are absolutely sure it is wonderful.

And Furthermore

There are a few additional rules that apply to a food offense:

1. New students are exempt for the first two weeks in the lab because they are generally expected to mess something up.
2. Food offenses only apply to incidents in which other lab members are affected. If you use up the isotope, but no one else in the lab uses it, that is not a food offense.
3. No one is exempt from food offenses, including the head of the lab.
4. Poverty cannot be claimed as a reason to avoid providing food. A dozen doughnuts will not break anyone.
5. The person who commits the food offense is allowed to partake in the eating. In fact, one might well be wary of food that is avoided by the individual who provided it.
6. One cannot prepay food offenses. However, any food brought for the lab is always welcome.
7. If the food offense payment is really bad, the individual committing the food offense should be required to try again.

Finally, if your laboratory has any individuals who commit food offenses but absolutely refuse to cooperate, it might be well to invoke option #1.

Anyone who cares so little about the other members of a laboratory and constantly creates stressful situations is probably more trouble than they are worth and might be better off somewhere else.

I wish to acknowledge all the past and present member of my laboratory who have cooperated fully with me in reducing stress and tension in the lab.

However, I cannot imagine I could ever have committed any of the food offenses with which I have been charged. The author may be contacted at youngh@ncifcrf.gov.

Journal Adds Sanctions To Disclosure Policy

A three-year ban will be imposed on authors "who willfully fail to disclose a competing financial interest" in manuscripts submitted to the journal, *Environmental Health Perspectives*, published by the National Institute of Environmental Health Sciences.

"If complete disclosure of possible conflicts would have caused the journal to have rejected the manuscript, the paper will be retracted," Thomas J. Goehl, Editor-in-Chief, wrote in an editorial in the October 2004 issue. "If the paper is not retracted but an ethical omission has occurred, an Expression of Concern will be written, published in the journal, and added to the online version of the article."

The journal added the corrective measures for ethical violations because a study by the Center for Science in the Public Interest found that the first or last author in three articles published in EHP failed to disclose conflicts in accordance with the disclosure policy. Disclosure failures were also found in articles published by the *New England Journal of Medicine*, the *Journal of the American Medical Association*, and *Toxicology and Applied Pharmacology*.

Goehl stated, "Full disclosure is in the best interest of the individual scientists, the journals, and society, which must have complete faith that our research is not only of the highest quality, but also is open, honest and unbiased."

He further stated, "Authors should also realize that disclosing financial support does not automatically diminish the credibility of the research. However, failure to disclosed a competing financial interest that is subsequently discovered immediately opens the authors to questions about objectivity."

**RCR RESOURCE
DEVELOPMENT PROGRAM**
Deadline: February 25, 2005
See: <http://ori.hhs.gov>

Medical Schools Conflict of Interest Policies Improve; Additional Improvements Suggested

At least 98 of the 126 medical schools in the U. S. have a conflict of interest (COI) policy that applies to all human subject research regardless of funding, according to a study conducted by the Association of American Medical Colleges (AAMC).

The study also concluded that medical schools have made significant progress since 2001 in clarifying and strengthening their financial COI standards in clinical research, but indicated that certain policies and procedures still need more attention from the academic medicine community.

The survey conducted between May 2003 and February 2004 received responses from 103 medical schools. The study report is available at <http://www.aamc.org/members/coift/coiresults2003.pdf>.

Key findings

Ninety-five percent of the policies apply to all faculty and 77 percent to non-faculty engaged in human subject research regardless of funding.

Ninety-eight percent define a significant financial interest; 95 percent use the federal government threshold of \$10,000 or a lower standard; 64 percent go beyond federal regulations and consider as significant financial interests all equity in non-publicly traded companies regardless of value, as well as non-royalty payments not directly related to reasonable costs of research.

Eighty-five percent require monitoring of COI in human subjects research; 74 percent require disclosure of a significant financial interest to the human participants in the consent form and 76 percent have established a standing COI committee.

Eighty-one percent permit a researcher with a significant financial interest to conduct human subjects research when they find that compelling circumstances exist.

Need attention

Forty percent do not require researchers to disclose significant financial interests in oral presentations of research results.

Nine percent do not include outside representatives on standing COI committees.

Forty-one percent with standing COI committees do not include within the committee's responsibilities the evaluation of significant financial interests prior to final IRB approval.

Many policies do not suggest or require the involvement of patient representatives while recruiting or gaining the consent of human research participants.

About half of the policies do not require regular audits of the consent and enrollment process and do not routinely use special committees established to monitor participants' safety during clinical trials.

Misconduct Findings by Academic Rank of Respondents: 1994–2003

Academic Rank	Respondents		Misconduct		Percent Misconduct
	N	%	N	%	
Professor	40	15	6	5	15
Associate Professor	55	20	24	18	44
Assistant Professor	30	11	13	10	43
Postdocs	44	16	27	20	61
Research Associates/Assistants	22	8	17	13	77
Student	22	8	14	10	64
Technician	47	17	31	23	66
None/Unknown	14	5	1	1	7
TOTAL	274	100	133	100	49

Research Web Page Expanded on ORI Web Site

An expanded research page is available on the ORI web site that provides information on the ORI intramural and extramural research programs which seek to expand the knowledge base on research misconduct, research integrity, the responsible conduct of research, and regulatory compliance. The research page is located at http://ori.dhhs.gov/html/research/research_home.asp.

ORI has conducted an intramural research program since 1994. The intramural program is focused on research misconduct, the prevention of research misconduct, and the institutional implementation of the research misconduct regulation. Intramural research is conducted by ORI staff and contractors.

The intramural section of the research web page contains a description of ongoing studies and reports on completed studies. For more information on the intramural program contact Sandra L. Titus, Ph.D., Intramural Research Director, at stitus@osophs.dhhs.gov or 301-443-5300.

The Research on Research Integrity (RRI) Program was started by ORI in 2001 in collaboration with the National Institute of Neurological Disorders and Stroke (NINDS). Since then, the program has been joined by the National Institute of Nursing Research (NINR), the National Institute of Drug Abuse (NIDA) and the Agency for Healthcare Research and Quality (AHRQ).

The extramural grant program is focused on research on societal,

Upcoming Events

May 12-14, 2005 - Twelfth annual teaching research ethics workshop, Poynter Center, Indiana University. See <http://poynter.indiana.edu>.

September 15-17, 2005 - Fifth International Congress on Peer Review and Biomedical Publication, Chicago. See <http://www.jama-peer.org>.

organizational, group, and individual factors that affect, both positively and negatively, integrity in research. The extramural section of the research web page contains information on the RRI staff, key dates, tips for submissions, potential research topics, literature reviews, award data and abstracts and overviews of the biennial Research Conferences on Research Integrity.

For more information on the extramural program contact Mary Scheetz, Ph.D., Extramural Research Director, at mscheetz@osophs.dhhs.gov or 301-443-5300.

RCR PROGRAM FOR ACADEMIC SOCIETIES

Deadline: March 5, 2005

See: <http://www.aamc.org/programs/ori/rfa.htm>

NIH Moratorium (*from page 1*)

The House oversight subcommittee has been investigating the outside activities of NIH personnel since last December when the *Los Angeles Times* reported that some agency scientists were engaged in lucrative consulting arrangements with drug and biotech companies that posed at least the appearance of conflicts of interest. The number and severity of apparent ethics violations have steadily escalated since then, according to the *Washington Post*.

Holli Beckerman Jaffe, J.D., Director, NIH Ethics Office, provided the following working definition of consulting:

“Consulting with pharmaceutical and biotechnology companies is generally accomplished by private contacts between an NIH employee and a pharmaceutical or a biotechnology company when the employee appears in his or her personal capacity, not as a government employee carrying out his or her official duties.

Annual Report Due March 1, 2005

Submission of the 2004 Annual Report on Possible Research Misconduct, due March 1, 2005, should be quicker and simpler because the new software created for the assurance program automatically provides needed information and checks the reports for accuracy and completeness.

The new software leads officials through the process which will be shortened for about 95 percent of the reporting institutions. Requested passwords and IPF numbers will be automatically provided, thereby, eliminating the need for emails and phone calls. The program will not allow incomplete reports to be submitted and the availability of an institutional policy for responding to research misconduct will be automatically checked. Receipt of the annual report by ORI will be automatically acknowledged.

“Such contacts include but are not limited to: membership on a pharmaceutical or biotechnology company’s scientific advisory board, or attendance at a meeting of such board; membership on a pharmaceutical or biotechnology company’s board of directors or attendance at a meeting of such board; activities that endorse any pharmaceutical or biotechnology company’s product and services; and lecturing at industry-sponsored CME courses or scientific meetings. (We generally do not consider an event that is supported by an unrestricted educational grant from a pharmaceutical or biotechnology company to be an industry-sponsored event.)

“An employee may attend and/or speak at an industry-sponsored CME course or scientific meeting in his or her official capacity, and the employee’s institute or center may accept sponsored travel for such attendance and/or speech.”

Editors Advise On Image Manipulation

Journal editors are becoming increasingly concerned about the integrity of images submitted with manuscripts because powerful image-processing software has made the manipulation of digital images simpler, tempting, and risky.

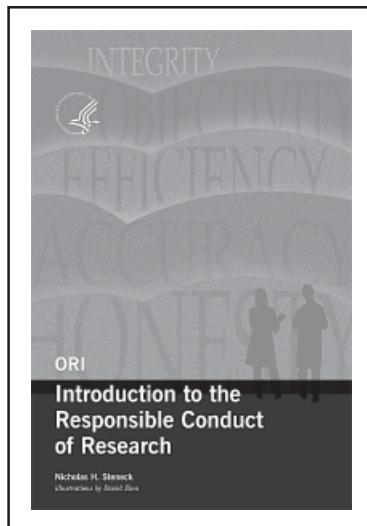
A recent article, "What's in a picture? The temptation of image manipulation", published in *The Journal of Cell Biology* (V. 166, No. 1, pp. 11-15) by Mike Rossner and Kenneth M.

Yamada, managing editor and editor respectively, comment on the manipulation of images.

The journal's guidelines on image manipulations state "No specific feature within an image may be enhanced, obscured, moved, removed, or introduced. The grouping of images from different parts of the same gel, or from different gels, fields, or exposures must be made explicit by the arrangement of the figure (e.g., using dividing lines) and in the text of the figure legend. Adjustment of brightness, contrast, or color balance are acceptable if they are applied to the whole image and as long as they do not obscure or eliminate any information present in the original. Nonlinear adjustments (e.g., changes in gamma settings) must be disclosed in the figure legend."

The authors said, "It is crucially important to keep your original digital or analog data exactly as they were acquired and to record your instrument settings...to allow you or others to return to your original data to see whether any information was lost by the adjustments made to the images."

"For every adjustment that you make to a digital image, it is important to ask yourself, 'Is the image that results from this adjustment still an accurate representation of the original data?' they said.



ORI Intro to RCR

The revised ORI Introduction to the Responsible Conduct of Research may be purchased from the Government Printing Office at <http://bookstore.gpo.gov>. Cost is \$14.00 per copy; a 25 percent discount is offered on purchases of every 100 copies sent to the same address. The publication is also available for on-line reading or downloading on the ORI website at <http://ori.hhs.gov>.

Public Image Changing

"Scientists are no longer perceived exclusively as guardians of objective truth, but also as smart promoters of their own interests in a media-driven marketplace." Benny Haerlin, Greenpeace International. *Nature*, 400:499,1999

ORI Exhibits Held At Annual Meetings

ORI held exhibits at annual meetings of five academic societies and professional associations during CY 2004 to increase contact and generate a dialogue with members of the research and academic communities.

Exhibits were held at the following meetings: Biophysical Society, Baltimore, in February; Experimental Biology, Washington, DC, in April, American Society for Biochemistry and Molecular Biology, Boston, in June, the Society of Research Administrators International, Salt Lake City, in October, and the National Council of University Research Administrators, Washington, D.C., in November.

ORI began its exhibit program in CY 2000. The exhibits allow ORI staff to talk to researchers, research administrators, postdocs, graduate students and professional association officials about the responsible conduct of research, the handling of research misconduct allegations, the maintenance of institutional eligibility for receiving PHS funding, the availability of RCR instructional materials, the sponsorship of conference and workshops, and the ORI research programs.

Scientific societies and professional and institutional associations that are interested in an ORI exhibit at their meeting should call ORI at 301-443-5300.

PHS Administrative Actions in Research Misconduct Investigations: 1994-2003

Actions*	1994-1998		1999-2003		Total	
	N	%	N	%	N	%
Prohibition of PHS advisory service	70	95	56	95	126	95
Debarment from federal funds	50	68	36	61	86	65
Supervision of research	26	35	22	37	48	36
Retraction/correction of articles	11	15	10	17	21	6
Certify data submitted in proposals	6	8	9	15	15	11
Certify sources of information	6	8	0	0	6	5
TOTAL RESPONDENTS	74		59		133	

*See http://ori.dhhs.gov/html/misconduct/administrative_actions.asp for additional information on PHS administrative actions.

Case Summaries

Ali Sultan, M.D., Ph.D., Harvard

School of Public Health: On October 19, 2004, the U.S. Public Health Service (PHS) entered into a Voluntary Exclusion Agreement with the President and Fellows of Harvard College (Harvard) and Ali Sultan, M.D., Ph.D., former Assistant Professor of Immunology and Infectious Diseases at the Harvard School of Public Health (HSPH). Based on HSPH's inquiry report, the respondent's admission, and additional analysis conducted by ORI in its oversight review, PHS found that Dr. Sultan engaged in scientific misconduct in research funded by National Institute of Allergy and Infectious Diseases (NIAID), National Institutes of Health (NIH), grant 1 P01 AI060332-01, "Chemical genetics and malaria drug development," Subproject 2, "Screening of target-rich environment." Specifically, PHS and Harvard found that: (1) Dr. Ali Sultan plagiarized text, plagiarized three figures showing results of an immunofluorescence assay, a phosphorimage, and northern blot analysis (Figures 3, 4, and 5, respectively), and falsified the data as results of experiments on Plasmodium berghei, instead of P. falciparum as reported in a subproject of the PHS grant application 1 P01 AI060332-01, "Chemical genetics and malaria drug development;" and (2) Dr. Ali Sultan fabricated portions of an e-mail from his postdoctoral student that he presented to the HSPH inquiry committee purportedly to falsely implicate the student in the submission of the plagiarized materials for the grant application.

The Voluntary Exclusion Agreement states that for a period of three (3) years, beginning on October 19, 2004: (1) Dr. Sultan agreed to exclude himself 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 as defined in the debarment regulations at 45 C.F.R. Part 76; and (2) Dr. Sultan agreed to exclude himself 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.

Charles N. Rudick, Northwestern

University: Based on the report of an investigation conducted by Northwestern University (NU Report) and additional analysis conducted by ORI in its oversight review, PHS found that Charles N. Rudick, Graduate Student, Department of Neurobiology and Physiology at NU, engaged in scientific misconduct in research supported by National Institute of Neurological Disorders and Stroke (NINDS), National Institutes of Health (NIH), grant R29 NS37324, "Estrogen-induced hippocampal seizure susceptibility," and National Institute of General Medical Sciences (NIGMS), NIH, grant T32 GM08061, "Cellular and Molecular Basis of Disease Training Program." Specifically, PHS found that Mr. Rudick falsified illustrations in Photoshop pertaining to unpublished traces of electrophysiological recordings of inhibitory postsynaptic currents.

Mr. Rudick has entered into a Voluntary Exclusion Agreement (Agreement) in which he has voluntarily agreed for a period of three (3) years, beginning on September 14, 2004: (1) to exclude himself 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; and (2) that any institution which submits an application for PHS support for a research project on which the Respondent's participation is proposed or which uses the Respondent in any capacity on PHS supported research, or that submits a report of PHS-funded research in which the Respondent is involved, must concurrently submit a plan for supervision of the Respondent's duties to the funding agency for approval. The supervisory plan must be designed to ensure the scientific integrity of the Respondent's research contribution. Respondent agrees to ensure that a copy of the supervisory plan is also

submitted to ORI by the institution. Respondent agrees that he will not participate in any PHS-supported research until such a supervision plan is submitted to and accepted by ORI.

Research Misconduct Makes Physicist Unworthy of Doctoral Degree

Committing research misconduct could lead to the revocation of your doctoral degree if institutions follow the action taken by a German university against the former Bell Labs physicist who reportedly fabricated data supporting a series of supposed research breakthroughs.

Last June, the University of Konstanz revoked the doctoral degree granted to J. Hendrik Schon in 1998 and asked him to return his diploma because Schon had behaved "unworthily" by being involved in "the biggest data fabrication scandal in physics in the last 50 years" Professor Wolfgang Dieterich said in announcing the decision, according to Associated Press and *New York Times* reports.

"That was interpreted here in the context of science," said Professor Dieterich, chairman of the physics department at Konstanz. "We decided to remove his doctorate credentials after our commission checked on the conclusions drawn by the external commission in the United States, and noted that several scientific journals had also retracted some of his published work."

The university in southern Germany claimed a legal right to rescind the degree even though its investigation concluded that Schon did not commit misconduct in his doctoral research.

Universities in the United States and Germany have revoked degrees when research misconduct was discovered in theses or dissertations that supported the degrees but this may be the first case where an institution revoked a doctoral degree because research misconduct was committed during a research career.

Office of Research Integrity

NEWSLETTER

Conference, Workshop, and Meeting Proposals Due April 1, 2005.

ORI is seeking proposals from institutions, scientific societies, and professional associations that wish to collaborate with ORI in developing conferences, workshops, symposia, colloquiums, seminars, and annual meeting sessions that address the responsible conduct of research, research integrity, or research misconduct. ORI will provide up to \$20,000, depending on the event proposed.

The next target date for receipt of applications is **April 1, 2005**. Proposal instructions and an application form are available on the ORI web site at <http://ori.hhs.gov/html/programs/conf-workshops.asp>. Please submit your proposal electronically to lrhoades@osophs.dhhs.gov. Call Dr. Larry Rhoades at 301-443-5300.

Office of Research Integrity
1101 Wootton Parkway, Suite 750
Rockville, Maryland 20852

Office of the Director (301) 443-3400
Fax (301) 443-5351

Division of Education
and Integrity (301) 443-5300
Fax (301) 443-5351

Assurances Program (301) 443-5300
Fax (301) 594-0042

Div. of Investigative
Oversight (301) 443-5330
Fax (301) 594-0043

Research Integrity
Branch/OGC (301) 443-3466
Fax (301) 594-0041

Website: <http://ori.hhs.gov>

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Office of the Secretary
Office of Research Integrity
1101 Wootton Pkwy, Suite 750
Rockville MD 20852

Official Business
Penalty for Private Use \$300

DATED MATERIAL