Reporting of Suspected Research Misconduct in Biomedical and Behavioral Research

Department of Health and Human Services
Office of Research Integrity

There is NO IDENTIFYING INFORMATION on this survey. Your responses are anonymous. Your participation is voluntary.

After completing the survey, please mail it back to The Gallup Organization in the enclosed postage paid envelope.

Administered by:

THE GALLUP ORGANIZATION

Mailing address: The Gallup Organization
Attn: Survey Processing Center
P.O. Box 2660
Omaha, NE 68103-2660
INSTRUCTIONS

Purpose:

The purpose of this study is to measure the observation and reporting of suspected research misconduct in biomedical and behavioral research. The Office of Research Integrity (ORI) within the U.S. Department of Health and Human Services (DHHS) has contracted with The Gallup Organization to collect this information under OMB #xxx-yyy, expiration xx/yy/zz. Results from the study will help ORI make decisions about areas to emphasize when developing programs to help foster integrity in research. This survey is being sent to a random sample of 5,200 NIH-funded research grantees.

Assurance of Confidentiality:

This survey requests sensitive information about suspected research misconduct. There is no identifying information on this survey; therefore, your responses can never be linked back to you, your department, or your institution or employer. The Gallup Organization and ORI will not seek or get any identifiable information about an individual or institution, or attempt to identify any individual or institution from the responses. If any information becomes inadvertently identified, ORI will take no action affecting any individual or institution based on that information. If an audit or review of the original data becomes necessary, the audit or review will be conducted by personnel not directly employed by ORI and no information about the respondents or their institutions obtained in the audit or review will be used to take any action affecting any individual or institution.

The purpose of the survey is to collect nationwide statistics on the observation and reporting of suspected research misconduct, not to implicate individual researchers. Responses will only be reported in summaries or statistical tables. Your responses are entirely voluntary and you need not answer any question you may wish to skip. If you have any questions or concerns about the anonymity of these data, please contact Gallup’s Human Subjects Committee Chairman, Steve O’Brien (steve_obrien@gallup.com).

Returning the Questionnaire:

Mailing instructions for returning the completed questionnaire appear on the last page of the questionnaire.

Questions:

If you have any questions about the study, please call The Gallup Organization toll-free at 1-877-242-5587 and ask for Jim Wells.
INSTITUTION AND DEPARTMENT CHARACTERISTICS

Please answer the following questions about the institution where you are employed. By institution, we mean the entire university or organization that employs you. If you are employed at more than one institution, please answer about the institution you consider your primary employer. Questions that ask about your department refer to your department within your school, center or institute. If you do not work in a department, please answer in terms of your organizational unit that most closely corresponds with an academic department in a university.

MARKING INSTRUCTIONS:
When completing this survey, please mark your responses with an ‘x’ using a blue or black pen like this example [x].
Do not mark outside of the response area like this example [X ].

1 Are you employed in a degree granting institution? (Mark [x] one box.)
   ___ Yes
   ___ No

2 In your institution do… (Mark [x] one box.)
   ___ Most departments offer a doctorate or professional degree?
   ___ Most departments offer a masters degree, but not doctoral degree?
   ___ Most departments offer an undergraduate degree only?
   ___ I do not work in a degree-granting institution

3 Do you work in a medical school? (Mark [x] one box.)
   ___ Yes
   ___ No

4 Is this institution public or private? (Mark [x] one box.)
   ___ Public
   ___ Private

5 Including yourself, how many full-time equivalent faculty (or equivalent professionals if you work in a non-academic setting) work in your department? If you are not in a department, please answer for your organizational unit that most closely corresponds to an academic department at a university. (Mark [x] one box.)
   ___ 0-10
   ___ 11-20
   ___ 21-30
   ___ 31-40
   ___ 41-50
   ___ 51-60
   ___ 61-70
   ___ 71-80
   ___ 81-90
   ___ 91-100
   ___ More than 100
OBSERVATION AND REPORTING OF SUSPECTED RESEARCH MISCONDUCT

This section asks about suspected research misconduct you have observed by researchers in your department or equivalent organizational unit or about which you have other direct evidence. By researchers we mean principal investigators, research associates, postdoctoral fellows, research assistants, research nurses/coordinators, lab technicians, graduate, and undergraduate students.

In responding to the questions below, use as your reference point the Federal Research Misconduct Policy, published by the Office of Science and Technology in the White House in December 2000:

| Research misconduct is defined as fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results. |
| 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. |
| Fabrication is making up data or results and recording or reporting them. |
| Plagiarism is the appropriation of another person’s ideas, processes, results, or words without giving appropriate credit. |

6 In the PAST THREE ACADEMIC YEARS, how many times have you observed or had other direct evidence of researchers in your department (or equivalent organizational unit) allegedly committing research misconduct (falsification, fabrication, or plagiarism) in proposing, performing, or reviewing research, or in reporting research results? (Mark [x] one box.)

____ Zero times (SKIP TO #9, PAGE 5)
____ One time in the past three academic years (CONTINUE)
____ Two times in the past three academic years (CONTINUE)
____ Three times in the past three academic years (CONTINUE)
____ Four or more times in the past three academic years (CONTINUE)

[IF YOU CHECKED ZERO INCIDENTS OF SUSPECTED RESEARCH MISCONDUCT IN #6, SKIP TO #9, PAGE 5]

7 Please provide a brief description of up to three of the most recent incidents of suspected research misconduct in the past three academic years you have observed or had other direct evidence of, without providing any names or identifying information. For example, “Colleague changed values of a blot test to be more consistent with their hypothesis and published the results.”

Most Recent Observed Incident #1
____________________________________________________________________________________
____________________________________________________________________________________

Next Most Recent Observed Incident #2
____________________________________________________________________________________
____________________________________________________________________________________

Next Most Recent Observed Incident #3
____________________________________________________________________________________
____________________________________________________________________________________
Please provide details about incidents of suspected research misconduct that you described in #8. Please provide information about the most recent incident in the first column. If you indicated zero incidents in #6, please skip to #9.

<table>
<thead>
<tr>
<th>Incident #1</th>
<th>Incident #2</th>
<th>Incident #3</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

(1) **Type of suspected research misconduct you observed/had direct evidence of:**
(Mark ALL that apply.)

<table>
<thead>
<tr>
<th></th>
<th>Incident #1</th>
<th>Incident #2</th>
<th>Incident #3</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Falsification</td>
<td>a. ___</td>
<td>a. ___</td>
<td>a. ___</td>
</tr>
<tr>
<td>b. Fabrication</td>
<td>b. ___</td>
<td>b. ___</td>
<td>b. ___</td>
</tr>
<tr>
<td>c. Plagiarism</td>
<td>c. ___</td>
<td>c. ___</td>
<td>c. ___</td>
</tr>
</tbody>
</table>

(2) **Rank or title of the researcher(s) allegedly committing research misconduct** (Mark ALL that apply.)

<table>
<thead>
<tr>
<th>Rank or Title</th>
<th>Incident #1</th>
<th>Incident #2</th>
<th>Incident #3</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Senior Research Scientist or equivalent</td>
<td>a. ___</td>
<td>a. ___</td>
<td>a. ___</td>
</tr>
<tr>
<td>b. Associate Research Scientist or equivalent</td>
<td>b. ___</td>
<td>b. ___</td>
<td>b. ___</td>
</tr>
<tr>
<td>c. Assistant Research Scientist or equivalent</td>
<td>c. ___</td>
<td>c. ___</td>
<td>c. ___</td>
</tr>
<tr>
<td>d. Professor</td>
<td>d. ___</td>
<td>d. ___</td>
<td>d. ___</td>
</tr>
<tr>
<td>e. Associate Professor</td>
<td>e. ___</td>
<td>e. ___</td>
<td>e. ___</td>
</tr>
<tr>
<td>f. Assistant Professor</td>
<td>f. ___</td>
<td>f. ___</td>
<td>f. ___</td>
</tr>
<tr>
<td>g. Instructor</td>
<td>g. ___</td>
<td>g. ___</td>
<td>g. ___</td>
</tr>
<tr>
<td>h. Lecturer</td>
<td>h. ___</td>
<td>h. ___</td>
<td>h. ___</td>
</tr>
<tr>
<td>i. Postdoctoral Fellow</td>
<td>i. ___</td>
<td>i. ___</td>
<td>i. ___</td>
</tr>
<tr>
<td>j. Research Nurse or Coordinator</td>
<td>j. ___</td>
<td>j. ___</td>
<td>j. ___</td>
</tr>
<tr>
<td>k. Lab Technician</td>
<td>k. ___</td>
<td>k. ___</td>
<td>k. ___</td>
</tr>
<tr>
<td>l. Graduate Student</td>
<td>l. ___</td>
<td>l. ___</td>
<td>l. ___</td>
</tr>
<tr>
<td>m. Other (specify____________________)</td>
<td>m. ___</td>
<td>m. ___</td>
<td>m. ___</td>
</tr>
<tr>
<td>n. Rank/title not known</td>
<td>n. ___</td>
<td>n. ___</td>
<td>n. ___</td>
</tr>
</tbody>
</table>

(3) **How did you become aware of the suspected research misconduct?**
(Mark [x] one box for each)

<table>
<thead>
<tr>
<th>How did you become aware?</th>
<th>Incident #1</th>
<th>Incident #2</th>
<th>Incident #3</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. I directly observed the suspected research misconduct while it was being committed</td>
<td>a. ___</td>
<td>a. ___</td>
<td>a. ___</td>
</tr>
<tr>
<td>b. I observed the products of the suspected research misconduct and could infer who did it with confidence</td>
<td>b. ___</td>
<td>b. ___</td>
<td>b. ___</td>
</tr>
<tr>
<td>c. I was told about the suspected research misconduct by someone else, but then observed the misconduct or products of misconduct for myself</td>
<td>c. ___</td>
<td>c. ___</td>
<td>c. ___</td>
</tr>
<tr>
<td>d. I did not observe the suspected research misconduct or products of the misconduct, but have other direct evidence.</td>
<td>d. ___</td>
<td>d. ___</td>
<td>d. ___</td>
</tr>
<tr>
<td>e. Other (Specify)</td>
<td>e. ___</td>
<td>e. ___</td>
<td>e. ___</td>
</tr>
<tr>
<td>f. I don’t recall</td>
<td>f. ___</td>
<td>f. ___</td>
<td>f. ___</td>
</tr>
</tbody>
</table>

(4) **Was the suspected misconduct reported to officials at the institution?** (Mark [x] one box for each)

<table>
<thead>
<tr>
<th>Reported to officials?</th>
<th>Incident #1</th>
<th>Incident #2</th>
<th>Incident #3</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Yes</td>
<td>a. ___</td>
<td>a. ___</td>
<td>a. ___</td>
</tr>
<tr>
<td>b. No</td>
<td>b. ___</td>
<td>b. ___</td>
<td>b. ___</td>
</tr>
<tr>
<td>c. Don’t know</td>
<td>c. ___</td>
<td>c. ___</td>
<td>c. ___</td>
</tr>
</tbody>
</table>

(5) **IF YES in #4, was it YOU who reported the suspected misconduct to officials at the institution?** (Mark [x] one box for each)

<table>
<thead>
<tr>
<th>Reported by you?</th>
<th>Incident #1</th>
<th>Incident #2</th>
<th>Incident #3</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Yes</td>
<td>a. ___</td>
<td>a. ___</td>
<td>a. ___</td>
</tr>
<tr>
<td>b. No</td>
<td>b. ___</td>
<td>b. ___</td>
<td>b. ___</td>
</tr>
</tbody>
</table>
9 Have you read your institution’s policy on responding to allegations of research misconduct?

____ Yes
____ No

10 Do you know to whom you should make an allegation of research misconduct at your institution?

____ Yes
____ No

Please answer the following questions concerning factors related to the detection, reporting and prevention of research misconduct.

11. What are the best ways to detect research misconduct?

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________

12. What can be done to increase the probability that suspected research misconduct will be reported?

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________

13. What steps can a researcher take to prevent or reduce research misconduct in his/her group?

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
14. Under what conditions are researchers likely to engage in research misconduct?

DEMOGRAPHICS

The remaining questions are for classification purposes only.

15. How long have you worked at your department (or equivalent unit) at your institution? Consider promotions in rank as part of the same job. (Mark [x] one box.)

   ______ years  ______ months

16. Which of the following best describes your rank or title at this institution as of September 1, 2005? (Mark [x] one box.)

   _____ Senior Research Scientist or equivalent title
   _____ Associate Research Scientist or equivalent title
   _____ Assistant Research Scientist or equivalent title
   _____ Professor
   _____ Associate Professor
   _____ Assistant Professor
   _____ Postdoctoral Fellow
   _____ Other (specify)

17. What proportion of your time do you spend doing research? (Mark [x] one box.)

   _____ Less than 25%
   _____ 25-49%
   _____ 50-74%
   _____ 75% or more

18. What types of research do you conduct? (Mark [x] one box.)

   _____ Basic science only
   _____ Basic science and clinical
   _____ Clinical only
   _____ Other (specify)

19. What is the highest degree you hold? (Mark all that apply)

   _____ Doctoral degree (Ph.D. or equivalent)
   _____ Medical degree (M.D., D.O., or equivalent)
   _____ Other degree (specify)
What is your age? (Mark [x] one box.)

___ Under 35
___ 35-44
___ 45-54
___ 55 or older

Please use this space to provide clarification for your answers to any of the above questions (please indicate question numbers) or if you have any other comments regarding this questionnaire or this study.

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________

THANK YOU VERY MUCH FOR YOUR PARTICIPATION.
Return this completed questionnaire in the enclosed prepaid envelope or mail directly to the
address below.

THE GALLUP ORGANIZATION
SURVEY PROCESSING CENTER
P.O. BOX 2660
OMAHA, NE 68172-9733