

# **Reporting of Suspected Research Misconduct in Biomedical and Behavioral Research**

**Department of Health and Human Services  
Office of Research Integrity**

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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

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### **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

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Next Most Recent Observed Incident #2

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Next Most Recent Observed Incident #3

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| _____ |

8 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.

|   | Incident<br>#1  | Incident<br>#2  | Incident<br>#3  |
|---|---|---|---|
|   | ▼   | ▼   | ▼   |
| <p><b>(1) Type of suspected research misconduct you observed/had direct evidence of:</b><br/>(Mark ALL that apply.)</p> <p>a. Falsification .....</p> <p>b. Fabrication .....</p> <p>c. Plagiarism .....</p>  | <p>a. ___</p> <p>b. ___</p> <p>c. ___</p>   | <p>a. ___</p> <p>b. ___</p> <p>c. ___</p>   | <p>a. ___</p> <p>b. ___</p> <p>c. ___</p>   |
| <p><b>(2) Rank or title of the researcher(s) allegedly committing research misconduct</b> (Mark ALL that apply.)</p> <p>a. Senior Research Scientist or equivalent</p> <p>b. Associate Research Scientist or equivalent</p> <p>c. Assistant Research Scientist or equivalent</p> <p>d. Professor</p> <p>e. Associate Professor</p> <p>f. Assistant Professor</p> <p>g. Instructor</p> <p>h. Lecturer</p> <p>i. Postdoctoral Fellow</p> <p>j. Research Nurse or Coordinator</p> <p>k. Lab Technician</p> <p>l. Graduate Student</p> <p>m. Other (specify _____)</p> <p>n. Rank/title not known</p>   | <p>a. ___</p> <p>b. ___</p> <p>c. ___</p> <p>d. ___</p> <p>e. ___</p> <p>f. ___</p> <p>g. ___</p> <p>h. ___</p> <p>i. ___</p> <p>j. ___</p> <p>k. ___</p> <p>l. ___</p> <p>m. ___</p> <p>n. ___</p> | <p>a. ___</p> <p>b. ___</p> <p>c. ___</p> <p>d. ___</p> <p>e. ___</p> <p>f. ___</p> <p>g. ___</p> <p>h. ___</p> <p>i. ___</p> <p>j. ___</p> <p>k. ___</p> <p>l. ___</p> <p>m. ___</p> <p>n. ___</p> | <p>a. ___</p> <p>b. ___</p> <p>c. ___</p> <p>d. ___</p> <p>e. ___</p> <p>f. ___</p> <p>g. ___</p> <p>h. ___</p> <p>i. ___</p> <p>j. ___</p> <p>k. ___</p> <p>l. ___</p> <p>m. ___</p> <p>n. ___</p> |
| <p><b>(3) How did you become aware of the suspected research misconduct?</b><br/>(Mark [ x ] one box for each)</p> <p>a. I directly observed the suspected research misconduct while it was being committed</p> <p>b. I observed the products of the suspected research misconduct and could infer who did it with confidence</p> <p>c. I was told about the suspected research misconduct by someone else, but then observed the misconduct or products of misconduct for myself</p> <p>d. I did not observe the suspected research misconduct or products of the misconduct, but have other direct evidence.</p> <p>e. Other (Specify) _____</p> <p>f. I don't recall</p> | <p>a. ___</p> <p>b. ___</p> <p>c. ___</p> <p>d. ___</p> <p>e. ___</p> <p>f. ___</p>   | <p>a. ___</p> <p>b. ___</p> <p>c. ___</p> <p>d. ___</p> <p>e. ___</p> <p>f. ___</p>   | <p>a. ___</p> <p>b. ___</p> <p>c. ___</p> <p>d. ___</p> <p>e. ___</p> <p>f. ___</p>   |
| <p><b>(4) Was the suspected misconduct reported to officials at the institution?</b> (Mark [ x ] one box for each)</p> <p>a. Yes</p> <p>b. No</p> <p>c. Don't know</p>  | <p>a. ___</p> <p>b. ___</p> <p>c. ___</p>   | <p>a. ___</p> <p>b. ___</p> <p>c. ___</p>   | <p>a. ___</p> <p>b. ___</p> <p>c. ___</p>   |
| <p><b>(5) IF YES in #4, was it you who reported the suspected misconduct to officials at the institution?</b> (Mark [ x ] one box for each)</p> <p>a. Yes</p> <p>b. No</p>  | <p>a. ___</p> <p>b. ___</p>   | <p>a. ___</p> <p>b. ___</p>   | <p>a. ___</p> <p>b. ___</p>   |

**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?

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

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

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

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### **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)

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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)

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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*)

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20 What is your age? (Mark [x] one box.)

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

21 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.

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**THANK YOU VERY MUCH FOR YOUR PARTICIPATION.**

**Return this completed questionnaire in the enclosed prepaid envelope or mail directly to the address below.**

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| <p style="text-align: center;"><b>THE GALLUP ORGANIZATION<br/>SURVEY PROCESSING CENTER<br/>P.O. BOX 2660<br/>OMAHA, NE 68172-9733</b></p> |
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