



➤ **Experiences in Developing
Research Integrity Structures**

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Overall Challenge

- Develop policies academicians and government agree upon and enforce that are applicable to:
 - Responsible Professional Practices Education
 - Developed between 1989 and present
 - NSF and HHS Policies
 - Research Misconduct and Questionable Research Practices
 - Developed between 1989 and 2000
 - OSTP Policy



Issues in Education and Outreach

- Are there common responsible professional practice (RPP) elements?
 - Conflicts of interest
 - Research misconduct
 - Authorship
 - Data handling
 - ?
- Are there unique risk factors for RPP?
 - Unique disciplinary issues (e.g. animals, humans)
- Who should be training?
 - Undergraduates, graduates, postdocs, PIs, administrators, foreign-trained ?
- What are the appropriate modes/methods for training?
 - Internet, classes, CDs ?
- How do you train the trainer and ensure Institution compliance ies?



Issues in Research Misconduct Policy Development

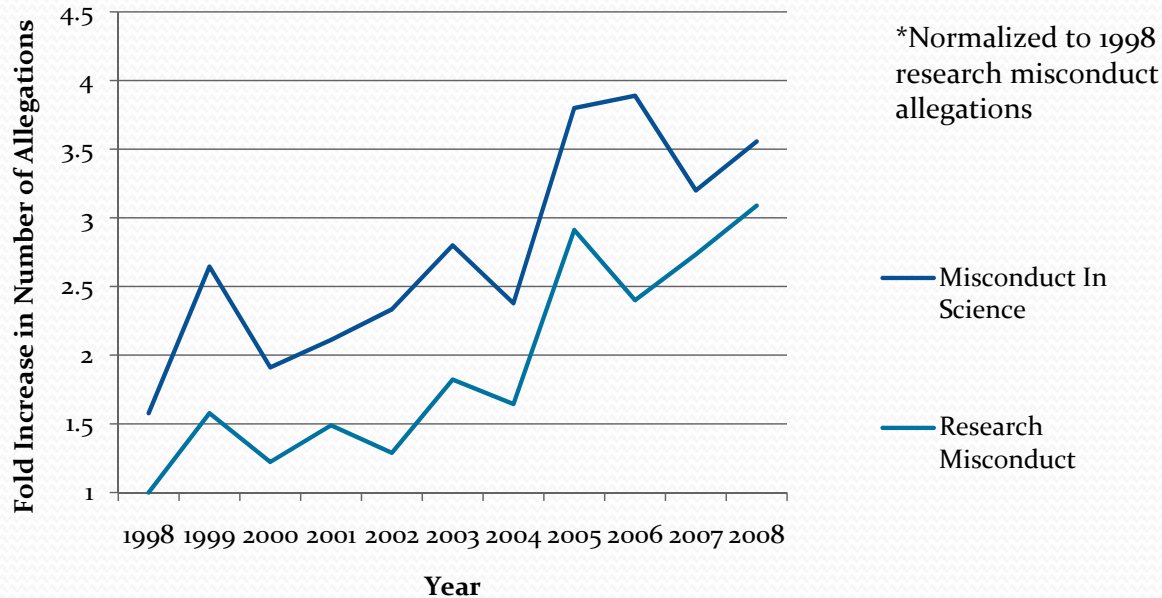
- What are the definitions of Research Misconduct and Questionable Research Practices?
 - Is Research Misconduct FFP ?
 - Are Questionable Research Practices everything else?
- What are the key elements in an investigation?
 - Act meets the Definition
 - Standard for Level of Intent – Reckless
 - Assessment of Community Practices – Significant departure from accepted practices
 - Burden of Proof – Preponderance of Evidence
 - Assessment of Seriousness – For act and egregiousness
 - Assessment for evidence of a pattern

Further Issues in Research Misconduct Policy Development

- Fair, Timely, Fact- and Document- based, Objective
- Free of inappropriate bias
- Presumption of innocence
- Confidentiality and protections for subjects, informants, witnesses
- Discrete, separate phases: inquiry, investigation, adjudication, appeal
 - Consistent time frames
 - Report contents
 - Appropriate actions
- Integrated policies for Investigation, Appeal, and Grievance
- Utilize concepts of independence and referral between University and agency
- Similar actions to protect interests

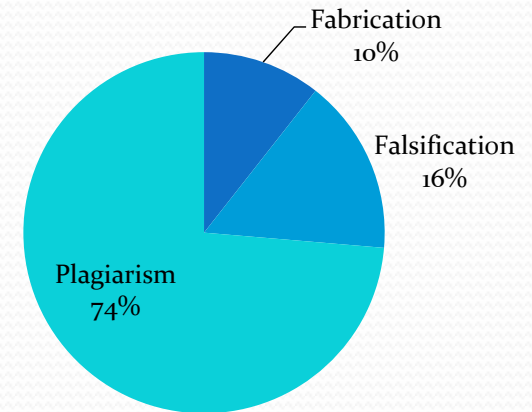
Is there a serious problem?

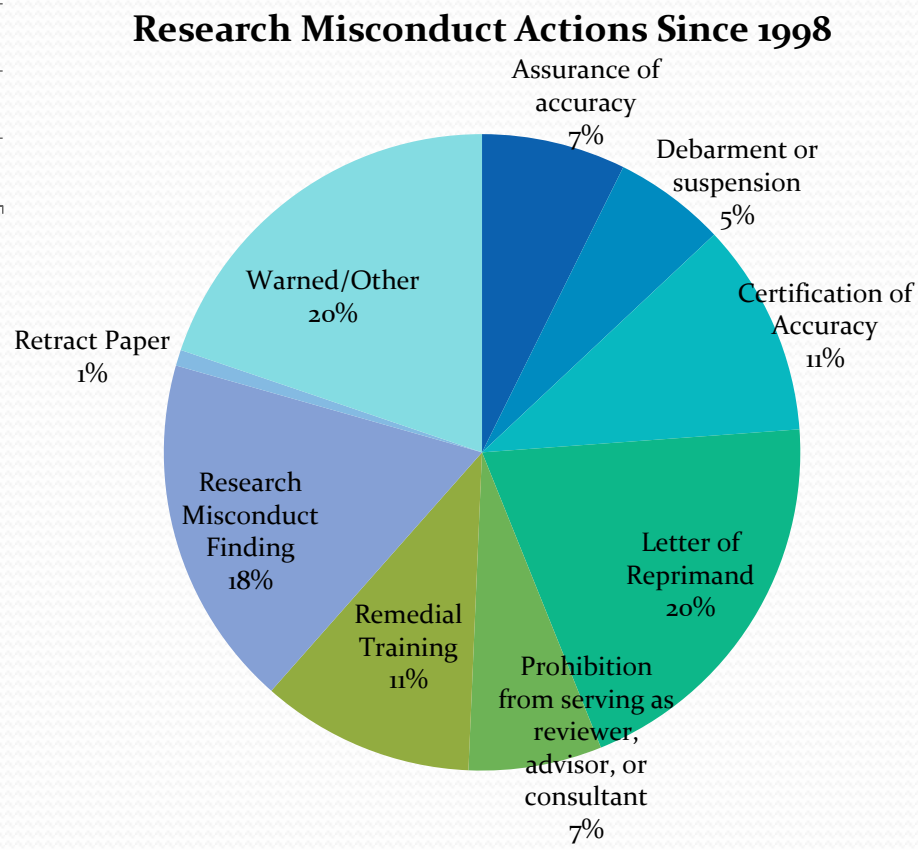
Allegations Since 1998



A 3x increase in allegations over 10 years

Total Research Misconduct Allegations Since 1998





Keys to an Effective National Framework

- Establish clear, simple concepts/definitions
- Get 'buy in' from all concerned parties
- Enforce expectations that all parties adhere to training and implementation
- Ensure fair and consistent application
- Consider Mutually Agreed Upon Procedures
 - e.g.: Global Science Forum papers on:
 - **Best Practices for Ensuring Scientific Integrity and Preventing Misconduct**
 - **Facilitating International Research Misconduct Investigations**