

# Research Integrity – Why it Matters

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*Reported on Friday, November 19, 1999*

## Too much tofu induces ‘brain aging,’ study shows

**A Hawaii research team says  
high consumption of the soy product  
by a group of men lowered  
mental abilities**

By Helen Altonn  
Star-Bulletin

*Wednesday, November 24, 1999*

## RESEARCHERS: Tofu panic unnecessary

**A single Hawaii study has  
linked consumption of tofu with  
loss of mental ability**

By Helen Altonn  
Star-Bulletin

# Public Trust

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Premise: Researchers are objective

Conclusion: Research findings and subsequent advice on drugs, therapies and lifestyle changes can be relied upon

# UH Research Integrity Program

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Responds to allegations of research and scholarly misconduct

Jurisdiction conferred by

- 42 CFR Part 93
- UH Executive Policy 12.211

# 42 CFR Part 93

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Misconduct related to Public Health Service (PHS) funding

Specific claims of misconduct

- Fabrication, Falsification or Plagiarism (FFP)
- But not honest error or difference of opinion

Claims applicable at any point in the process

- Proposal, design, conduct, and reporting of research

# UH Executive Policy 12.211

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## Policies and procedures for responding to misconduct allegations

- Incorporates 42 CFR Part 93 and modeled after US Department of Health and Human Services (HHS) Office of Research Integrity (ORI) model procedures
- Includes additional definitions of research and scholarly misconduct:
  - authorship disputes
  - misappropriation of funds
  - material misrepresentations such as academic credentials

# UH Executive Policy 12.211

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## Duties and Responsibilities of UH Faculty and Staff

- Protect integrity of the research process
- Responsibility to report misconduct in good faith
- Cooperate with misconduct proceedings

# UH Executive Policy 12.211

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## Reporting – Evaluation – Decision – Notice

- Misconduct reported formally (Complainant) or anonymously (informant)
- Three phases: Assessment → Inquiry Panel → Investigation Panel
- Deciding Official makes final determination of misconduct and sanctions
- Notify ORI of FFP misconduct involving PHS support

## Evaluation process emphasizes

- Protecting the confidentiality of the participants
- Warning against and managing retaliation
- Complying with principles of due process

# UH Executive Policy 12.211

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## General principles

- Burden of proof
  - On the institution in finding research misconduct
  - On respondent (the accused) in raising affirmative defenses (honest error or differences of opinion)
- Standard of Proof
  - Preponderance of the evidence



# Possible Sanctions for Misconduct

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## FEDERAL GOVERNMENT

Fines and/or imprisonment

Debarment from eligibility to receive federal funds

Prohibition from service on federal advisory committees, peer review committees, or as a consultant

Imposed supervision of research supported by federal funds

Correction or retraction of published articles found to be fraudulent

## UNIVERSITY

Loss of employment

Reduction in salary

Loss of resources

Restrictions

Increased supervision

# What can you do?

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5 Ways Supervisors Can Promote Research Integrity (ORI)

<https://ori.hhs.gov/blog/new-infographic-5-ways-supervisors-can-promote-research-integrity>

Perspective: Put Integrity High on Your To-Do List (Science)

<http://www.sciencemag.org/careers/2010/11/perspective-put-integrity-high-your-do-list>

Scientific Misconduct: Red Flags (The Scientist)

<http://www.the-scientist.com/?articles.view/articleNo/44582/title/Scientific-Misconduct--Red-Flags/>

# Resources

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On Being a Scientist: A Guide to Responsible Conduct in Research (National Academies Press)

<https://www.nap.edu/catalog/12192/on-being-a-scientist-a-guide-to-responsible-conduct-in>

“The Lab: Avoiding Research Misconduct” – Interactive Movie on Research Misconduct (ORI)

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

Responsible Conduct of Research Resources (ORI)

<https://www.hawaii.edu/researchcompliance/ori-rcr-resources-0>

# Reporting Misconduct (PHS)

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To file a complaint contact:

UH Research Integrity Officer at 956-7874 or [uhrrio@hawaii.edu](mailto:uhrrio@hawaii.edu) or  
Office of Research Integrity at [ori@hhs.gov](mailto:ori@hhs.gov)

Report what you know. Do not investigate.

NOTE: Allegations involving the protection of human or animals subjects, conflicts of interest, financial mismanagement, use of hazardous materials, or regulated research will be referred to the offices that deal with abuses of the research process.

# Most Useful Information

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Should include following information in allegation:

Name of respondent (s)

Name of whistleblower (s) – *if wish to be identified*

Names of witnesses

Description of misconduct

When misconduct occurred

Supporting documentation

Grant number or title

Funding source