VOLUME 12, NO. 2 HTTP://ORI.HHS.GOV MARCH 2004

Office of Research Integrity

NEWSLETTER

12 Misconduct Findings Made; 7 Debarments Imposed

Seven of the twelve persons against whom findings of misconduct were made in 2003 were debarred from receiving funding from the Federal Government for periods ranging from 3 to 10 years.

One respondent who was found guilty of felony and misdemeanor charges in criminal court was given probation, suspended jail sentences, and fines. In addition, she had to make restitution to her university. See story on page 3.

Three other respondents were found guilty of curbstoning, a type of misconduct familiar to survey researchers that fits under fabrication in research misconduct investigations. Curbstoning occurs when the interviewers sit down on a "curbstone" or elsewhere and fill out questionnaires without ever contacting the study subjects. See story on page 3.

See Respondents on page 3

Research Conference Abstracts Due April 16, 2004

ORI will convene the 3rd Research Conference on Research Integrity at the Paradise Point Resort, San Diego, November 12-14, 2004. Abstracts for papers, poster sessions, panel discussions, and working groups should be submitted electronically by April 16, 2004.

The bi-annual conference provides researchers with an opportunity to discuss crucial research problems, explore research methods, and share research results related to fostering research integrity.

Preliminary plans call for the development of mechanisms to facilitate discussions among researchers with shared research interests. "We want the conference participants to network with others who have similar interests," Nick Steneck, conference co-chair, said. "Perhaps we can develop some collaborations and an invisible college around some issues."

Research areas of particular interest include: questionable research

See Research on page 2

RCR Resource Program Seeks Reviewers

ORI seeks qualified peer reviewers for the RCR Resource Development Program. Peer reviewers will evaluate up to 10 applications, possibly more, which propose to develop instructional materials or tools that promote the responsible conduct of research. Peer reviewers are expected to complete their evaluations of each 3-page proposal by Friday, April 30, 2004.

Qualified reviewers should have a reasonable background in one or several of the following RCR topics: 1) data management; 2) mentor/trainee responsibilities; 3) collaborative science; 4) peer review; 5) publication practices and responsible authorship; 6) research misconduct; 7) research involving animals; 8) research involving humans; and 9) conflicts of interest.

Those interested should visit http://ori.hhs.gov/html/programs/onlineapp.html and register as a peer reviewer. Any questions should be addressed to Loc Nguyen-Khoa (LNguyen-Khoa@osophs.dhhs.gov).

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

Exhibit Space Free at RCR Expo 2004

The RCR Expo 2004 will be held October 25th and 26th in conjunction with the Society of Research Administrators (SRA) International 2004 Annual Meeting in Salt Lake City, Utah. The Expo will be held in the luxurious Grand America Hotel, situated in a high-traffic space within the conference area. With over 1,200 top research administrators attending the SRA meeting, this event will be an excellent opportunity for institutes and businesses to showcase their RCR educational materials, videos, training tools, web sites, and/or programs.

Exhibit space is free to the 25 exhibitors selected to participate. Those interested in becoming an exhibitor at the RCR Expo 2004 should contact Loc Nguyen-Khoa (LNguyen-Khoa@osophs.dhhs.gov) and include your name, institution, and description of your product or program. For more information about the SRA International 2004 Annual Meeting, visit http://www.srainternational.org.

Research Conference on Research Integrity (from page 1)

practices; defining normative behavior; research climate; causation and impact of research misconduct; authorship and publication; clinical, human, or animal subjects; conflicts of interest; data management; institutions (universities, centers, hospitals, institutes, or societies); mentoring; and teaching responsible conduct of research. In addition, papers and posters are invited on programs to promote research integrity or assess their effectiveness.

Preference will be given to original investigations that open new research areas, use new research methods, or provide new insights into recognized research problems. Proposals for theoretical or methodological presentations, historical analyses, and interpretive literature reviews will also be considered. Abstracts for all presentations and proposals must be submitted electronically.

The Research Conferences are part of ORI's Research on Research Integrity (RRI) Program, which currently supports 22 projects. The RRI Program is co-sponsored by the National Institute of Neurological Disorders and Stroke, the National Institute of Nursing Research, the National Institute on Drug Abuse, and the Agency for Healthcare Research and Quality. "Many principal investigators of those studies are expected to present during the conference," Mary Scheetz, program director and conference co-chair, said. "Three papers presented at our 2002 conference were published in *Accountability in Research* (V. 10:4)." Researchers funded by the RRI Program published an article in the *British Medical Journal* in January 2004.

Limited travel stipends will be available for graduate students who have papers accepted for presentation.

Co-sponsors of the conference are UC-San Diego, Association of American Medical Colleges, American Association for the Advancement of Science, Merck Research Laboratories, and the National Science Foundation.

See the ORI web site for details on submitting abstracts and for the conference schedule, as it develops, at **http://ori.hhs.gov** or e-mail conference co-chairs at rri@osophs.gov.

Intro RCR Text Mailed; Revision Underway

Single copies of the *ORI Introduction to the Responsible Conduct of Research* were mailed in January 2004 to the responsible institutional official at the 4,000 institutions that have a misconduct policy assurance on file with ORI.

The publication is currently being revised because some illustrations, case studies, and the ISBN number were dropped, and format and style errors were made during the production process of the initial printing. Publication content, however, is accurate. A PDF version of the missing material is available on the ORI web site at http://ori.hhs.gov.

The revised publication is expected to be available for purchase from the Government Printing Office this spring. See http://bookstore.gpo.gov. It will be posted on the ORI web site later this year for on-line reading or downloading.

RCR Summit Set For MSU in June

Responsible conduct of research (RCR) instructors and program coordinators are urged to participate in a national dialogue on future directions in RCR education that will be held at Michigan State University (MSU) on June 28-29, 2004.

A web site for *The RCR Summit: A National Dialogue on Future Directions of RCR* will be available shortly on the MSU and ORI web sites.

"We would like to see a substantial turnout for this conference," Larry Rhoades, Director, Division of Education and Integrity, ORI, said, "because we would like to begin developing a collaborative effort that would be helpful to us all."

The conference will develop basic information on the structure of RCR programs created across the country, discuss the content and pedagogical approaches being used, and suggest directions for the further development of the RCR education program.

7 Respondents Debarred; 29 Cases Closed (from page 1)

Research misconduct findings were made against three postdocs, a graduate student, an associate professor, a professor, and a research scientist, and five technicians or support personnel. Junior research personnel—postdocs, students, and technicians—accounted for 75 percent of the research misconduct findings in 2003.

Falsification was involved in all 12 misconduct findings. Six findings were based on falsification alone, four on a combination of falsification and fabrication, and one each on falsification and plagiarism and falsification, fabrication, and plagiarism.

The Public Health Service (PHS) imposed 27 administrative actions on the 12 respondents, an average of 2.25 actions per respondent. Besides the debarments, all 12 respondents were prohibited from serving PHS in an advisory capacity for periods ranging from 3 to 10 years. Five respondents were required to have any research they conduct that is supported by the PHS to be done under supervision for periods ranging from 3 to 5 years. Two respondents were required to have their employers certify the authenticity of the data provided in any application they submit to PHS. One respondent was required to retract an article.

ORI opened 22 cases in 2003 and closed 29 cases including 5 inquiries and 24 investigations. Fifty percent of the investigations resulted in misconduct findings. The percentage of cases closed with a misconduct finding (41 percent) exceeded the historical average of 36 percent for the third straight year. Forty-five cases were carried into 2004.

ORI closed 93 percent of its cases in 2003 within 8 months of receipt of the final institutional decision in the case. ORI average processing time was 4.5 months. ORI received 180 allegations in 2003.

Misconduct Findings Made Against Curbstoners

Two words long familiar to survey researchers—curbstoning and curbstoners—have migrated into the lexicon of research misconduct, giving vivid visual imagery to data fabrication.

Curbstoning occurs when the interviewer sits down on a curb (or elsewhere) and fills out questionnaires without ever talking to the study subjects.

Three case summaries in this issue (Blackwell, Creek, Woodward) report misconduct findings based on curbstoning. According to their verbal admissions, the curbstoners reported visiting addresses to which they did not go (including abandoned/vacant structures), interviewing persons whom they did not see, fabricating their answers on questionnaires, and making tape-recordings of themselves or their family and friends who were not enrolled in the study. They reportedly collected an interview fee and kept the payments that were intended for the subjects.

The admissions were made during a personnel administrative review process, not in a scientific misconduct investigation (as the respondents declined to be interviewed or respond further to the university's report).

The 3 were among 12 interviewers hired as part-time temporary employees by the university. They were not listed as authors in the final study. The principal investigator discovered the curbstoning early in the study and deleted all data collected by the curbstoners.

2004 ORI Conferences/ Workshops

Visit http://ori.hhs.gov

Researcher Given Felony Probation; Research Misconduct Found

A researcher at the University of Iowa has been placed on supervised probation and fined after pleading guilty to felony and misdemeanor charges following an investigation that also resulted in a finding of research misconduct.

Pat J. Palmer pled guilty October 31, 2003, to a felony, theft in the first degree, after admitting that she made false mileage claims to obtain reimbursement from an NIH grant. She pled guilty to a misdemeanor, "prohibitions relating to false academic degrees," after admitting that she made false representation on her résumé and employment applications by stating that she had received a bachelor's degree, two master's degrees, and dual doctorate degrees. Ms. Palmer attended, but did not graduate from college.

A Johnson County District Court judge sentenced Ms. Palmer to 3 years of supervised probation, a $1,000 fine and suspended an indeterminate jail sentence not to exceed 10 years for the felony charge, and 1-year supervised probation, a $250 fine, and suspended a 180-day jail sentence for the misdemeanor charge. She is serving her probations concurrently. Ms. Palmer also was ordered to pay $18, 976.80 in restitution to the University of Iowa.

The research misconduct finding was based on the fabrication of interviews with at least six autism patient families, the fabrication of academic degrees submitted on four NIH grant applications and a research training grant application, and falsification of co-authorship on 10 articles submitted in the same four NIH grant applications. Data from interviews of autistic families supposedly conducted by Ms. Palmer were discarded. See the case summary in this issue for additional details.

Students' Fake Data Used in Peterson Murder Trial

Nine undergraduate students have admitted in January to falsifying data in a survey that was introduced in the Scott Peterson murder trial in California to support a change-of-venue, according to *The Modesto Bee*.

The questionable survey has also delayed a murder trial in Fresno County where the students' professor submitted another change-of-venue study. The professor reportedly said that the survey was conducted by a private firm owned by one of his students.

The students were required to collect the data involved in the Peterson case to fulfill the requirements for a criminology course at California State University, Stanislaus. Participation in the survey accounted for 20 percent of their grade.

According to news articles, the professor spent "over an hour" training his student surveyors. The students were required to make dozens of lengthy, long distance calls on their own phones at their expense in a short amount of time. The students said they ran out of time and money. The professor reportedly did not verify the data by recontacting any of the study subjects.

Speaking on behalf of the American Association for Public Opinion Research (AAPOR), Dr. Elizabeth Martin, President, said, "If the reports are correct, then AAPOR would condemn the manner in which this so-called survey was carried out. News reports indicate that students were neither adequately trained nor supervised. Both are necessary to conduct a survey of acceptable quality. Interviewer falsification is a form of scientific misconduct. All reputable surveys monitor or check for the possibility of falsification by directly observing or by calling back a sample of cases to ensure interviews were done."

Dr. Martin continued, "Second, it is exploitive to require students to carry out a telephone survey with inadequate supervision and at their own expense. The primary goal of a student-conducted survey should be teaching and training students to use survey methods. Reports indicate that goal was not met in this case."

The professor reportedly used student surveyors in change-of-venue surveys in other high-profile cases. "We do it as a public service. It's good for the community, good for the students and good for taxpayers," the professor said. The university has launched a full-blown investigation that is expected to take months to complete.

For further information see http://www.modbee.com and http://www.aapor.org/.

New ORI Web Site Delayed

The new ORI web site set to premier last January 1 will be delayed until it receives a security certification and employs the common web site design adopted by DHHS. New software for submitting the Annual Report on Possible Research Misconduct was also delayed.

HHMI Publishes Guide For Postdocs, New Faculty

Making the Right Moves: A Practical Guide to Scientific Management for Postdocs and New Faculty is a collection of advice, experiences, and opinions from seasoned biomedical investigators and other professionals published by the Howard Hughes Medical Institute as a practical guide for postdocs and new faculty. It may be read on-line or downloaded at http://www.hhmi.org/labmanagement.

Chapter titles include obtaining and negotiating a faculty position and planning for tenure; the scientific investigator within the university structure; staffing your laboratory; mentoring and being mentored; data management and laboratory notebooks; getting funded; getting published and increasing your visibility; understanding technology transfer; and setting up collaborations.

Australian Case Mired in Controversy

A research misconduct case involving a renal transplant specialist at the University of New South Wales (UNSW) in Australia continues to generate controversy and additional investigations instead of a resolution, according to *Science* (303:298).

The specialist was accused of misrepresenting and fabricating experimental results, manipulating authorship credit in presentations and papers, and providing false data in a grant application to the National Health and Medical Research Council.

An initial university inquiry cleared him of wrongdoing, but an outside panel convened by the UNSW council found early last year that he had "acted with intent to deceive" and with a "reckless disregard of the truth." The specialist was removed from all supervisory duties.

Last December, the UNSW Vice Chancellor cleared the specialist of six allegations of scientific misconduct, but found that the specialist had committed five lesser acts of "academic misconduct" warranting censure but not the loss of his job or lab. Leading academics expressed the fear that this decision may "tarnish" the reputation of Australian universities. The specialist indicated that he may fight the decision.

He admitted making a "trivial" error on a grant application, but denies any serious misconduct. He also tried to obtain a court order preventing publication of the 11-volume outside panel report that the university may release.

Three government bodies are conducting separate investigations into the alleged financial mismanagement of his grants and the university's handling of the whistleblowers' complaints.

Research on Research Integrity Program

RFA May 2004

Case Summaries

Sheila Blackwell, University of Maryland, Baltimore (UMB): Based on the UMB report of an investigation, the respondent's admission, and additional analysis conducted by ORI in its oversight review, the U.S. Public Health Service (PHS) found that Sheila Blackwell, former contractual employee, Department of Pediatrics at UMB, engaged in scientific misconduct in research supported by National Institute of Mental Health (NIMH), National Institutes of Health (NIH), grant 2 R01 MH54983, entitled "Effectiveness of Standard versus Embellished HIV Prevention." PHS found that Ms. Blackwell engaged in scientific misconduct by fabricating interview records for the Focus on Teens HIV Risk Prevention Program for nine interviews that had not been performed over the period of May through July 2001.

Ms. Blackwell entered into a Voluntary Exclusion Agreement (Agreement) in which she voluntarily agreed for 3 years beginning October 30, 2003: (1) to exclude herself from serving in any advisory capacity to PHS; and (2) that her participation in any PHS-supported research will be conditioned as follows: (i) any institution that submits an application for PHS support for a research project in which Ms. Blackwell's participation is proposed or anticipated must concurrently submit a Supervision Plan (Plan) to the funding agency for approval; and (ii) any institution using Ms. Blackwell in any capacity in PHS-supported research must submit a Plan to the funding agency for approval, and it must be designed to ensure the scientific integrity of her research contribution, and the institution must submit a copy of the Plan to ORI. Ms. Blackwell agreed that she will not participate in any PHS-supported research until the Plan has been submitted to ORI.

Khalilah Creek, University of Maryland, Baltimore (UMB): Based on the UMB report of an investigation, the respondent's admission, and additional analysis conducted by ORI in its oversight review, PHS found that Khalilah Creek, former contractual employee, Department of Pediatrics at UMB, engaged in scientific misconduct in research supported by NIMH, NIH, grant 2 R01 MH54983, entitled "Effectiveness of Standard versus Embellished HIV Prevention." PHS found that Ms. Creek engaged in scientific misconduct by fabricating interview records for the Focus on Teens HIV Risk Prevention Program for eight interviews that had not been performed over the periods of July and December 2000 and January, February, and May through August 2001.

Ms. Creek entered into a Voluntary Exclusion Agreement in which she voluntarily agreed for 3 years beginning October 30, 2003: (1) to exclude herself from serving in any advisory capacity to PHS; and (2) that her participation in any PHS-supported research will be conditioned as follows: (i) any institution that submits an application for PHS support for a research project in which Ms. Creek's participation is proposed or anticipated must concurrently submit a Plan to the funding agency for approval; and (ii) any institution using Ms. Creek in any capacity in PHS-supported research must submit a Plan to the funding agency for approval, and it must be designed to ensure the scientific integrity of her research contribution, and the institution must submit a copy of the Plan to ORI. Ms. Creek agreed that she will not participate in any PHS-supported research until the Plan has been submitted to ORI.

Bernd Hoffmann, Ph.D., University of Medicine and Dentistry of New Jersey (UMDNJ): Based on two inquiry/investigation reports from the UMDNJ and additional analysis conducted by ORI in its oversight review, the PHS found that Bernd Hoffmann, Ph.D., former Postdoctoral Fellow and Adjunct Assistant Professor, Department of Pharmacology at UMDNJ, engaged in scientific misconduct in research supported by NIH grant 2 R01 GM052309-05. PHS found that Dr. Hoffmann engaged in scientific misconduct by falsifying and fabricating research data in a manuscript entitled "LIS1/NUDF and CLIP-170 Are Required for Dynein-Mediated Vesicle Transport on Microtubules," which had been submitted to the *Journal of Cell Biology*, but was withdrawn before publication. Specifically, he:

- falsified data values on the second line from the bottom of Table IV; for example, the correct number under "Bound" in the first column was only one-third of that shown (325) in the manuscript;

- falsified data by erasing a band of approximate molecular weight 15KD from Figure 5A in the manuscript; and

- falsified a related movie film available on the Internet by altering the movement of the vesicles.

PHS also found that Dr. Hoffmann engaged in scientific misconduct by falsifying and fabricating research data in a published paper entitled "The LIS1-related Protein NUDF of *Aspergillus nidulans* and its Interaction Partner NUDE Bind Directly to Specific Subunits of Dynein and Dynactin and to Alpha- and Gamma-Tubulin" that had been published in the *Journal of Biological Chemistry* (*JBC*) at 276:38877-38884, 2001. Specifically, he:

- falsified Figure 5A left, Western blot with the alpha tubulin antibody for incubated proteins (+E+gamma+alpha); the lower right band was reused twice in Figure 2A. In Figure 5A, it was used as a gamma tubulin band for the coprecipitation experiment with NUDF-Prot.S and as NUDE for the coprecipitation experiments with NUDG (CDLC)-Flag;

- falsified Figure 5A left, NUDF Western blot with the alpha tubulin antibody for incubated proteins (+E+gamma+alpha); the lower left band was reused in Figure 2A as alpha tubulin in the coprecipitation experiment with NUDF-Prot.S; and

- falsified Figure 4A left, NUDF and for the interaction between the two proteins NUDA and NUDF, pulled out with NUDA-FLAG-agarose, had been used at several other places such as Figure 5A left, left gamma tubulin band, Figure 5B left, NUDE band for the interaction E + alpha, and Figure 5B right, NUDE band for the interaction E + K (ARP1).

Case Summaries, Continued

Dr. Hoffmann entered into a Voluntary Exclusion Agreement in which he voluntarily agreed for a period of 3 years, beginning January 30, 2004: (1) to exclude himself from any contracting or subcontracting with any agency of the U.S. Government and from eligibility or involvement in nonprocurement programs referred to as "covered transactions" as defined in the debarment regulations at 45 C.F.R. Part 76; (2) to exclude himself from serving in any advisory capacity to PHS, or as a consultant; and (3) to draft a letter of retraction and send it to ORI along with the signed Agreement. The draft letter requested the retraction of the *JBC* paper published at 276:38877-38884, 2001, and stated that he falsified and fabricated data in Figures 2A, 4A, 5A, and 5B. Upon ORI approval of the draft letter, Dr. Hoffmann agreed to send the final retraction letter to the Editor of *JBC*.

Kuie-Fu (Tom) Lin, D.V.M., Medical University of South Carolina (MUSC): Based on the MUSC report of an investigation and additional analysis conducted by ORI in its oversight review, PHS found on June 12, 2002, that Dr. Lin, a former graduate student, Department of Biochemistry and Molecular Biology at MUSC, engaged in scientific misconduct in research supported by the National Heart, Lung, and Blood Institute (NHLBI), NIH, grants R01 HL29397, "Regulation and Function of Renal Kallikrein," and R01 HL56686, "Gene Therapy in Experimental Hypertension and Renal Diseases," by falsifying data published in publications in *Hypertension* 26:847-853, 1995, *Hypertension Research* 20:269-277, 1997, and *Human Gene Therapy* 9:1429-1438, 1998. However, subsequent to the execution of a 3-year Voluntary Exclusion Agreement, Dr. Lin continued to receive PHS funds through April 30, 2003, in material violation of the Agreement. Based on Dr. Lin's aforementioned violation, and in lieu of initiation of debarment proceedings authorized by 45 C.F.R. § 76.305(c)(4) for Dr. Lin's violation of a material provision of the Agreement, the parties agreed to extend the term of Dr. Lin's voluntary exclusion through April 29, 2007.

Pat J. Palmer, University of Iowa (UI): Based on the UI report of an investigation, the respondent's guilty plea in a State criminal case, and additional analysis conducted by ORI in its oversight review, PHS found that Pat J. Palmer, former Assistant Research Scientist at UI, engaged in scientific misconduct (1) in research supported by NIH grant R01 MH55284, entitled "Collaborative Linkage Study of Autism"; (2) in grant proposals 1 R10 MH55284-01, 2 R01 MH55284-04 (both entitled "Collaborative Linkage Study of Autism"), 1 R01 DC05067-01, and 1 R55 DC05067-01A1 (both entitled "The Genetics of Specific Speech and Language Disorders"); and (3) in obtaining salary support from postdoctoral training grant T32 MH14620. PHS found that Ms. Palmer engaged in scientific misconduct by: (1) fabricating interview records for at least six interviews of autism patient families; (2) fabricating her claims for a B.S. from the University of Northern Iowa, an M.S./M.P.H. from the University of California at Berkeley, and a Ph.D. in Epidemiology/Bio-statistics from the UI in biographical sketches that were submitted to NIH in four grant applications (see above); and (3) fabricating her claim that she obtained a Ph.D. in Epidemiology/Bio-statistics from the UI in the biographical sketches of a training grant application, so she received salary support from July 1995 through June 1998 for postdoctoral training under NIH training grant T32 MH14620.

Ms. Palmer also engaged in dishonest conduct that demonstrates that she is not presently responsible to be a steward of Federal funds. She falsified that she was a coauthor of several published articles by inserting her name or replacing another name with her name on 10 articles listed in her biographical sketch for four NIH grant applications (see above):

(a) Canby, C.A., [**Palmer, P.J.**], & Tomanek, R.J. "Role of lowering arterial pressure on maximal coronary flow with and without regression of cardiac hypertrophy." *American Journal of Physiology* 257:H1110-H1118, 1989.

(b) Stegink, L.D., Brummel, M.C., Filer, L.J., Jr., & [**Palmer, P.J.**, replaced Baker, G.L.]. "Blood methanol concentrations in one-year-old infants administered grade [sic] doses of aspartame." *Journal of Nutrition* 113:1600-1606, 1983.

(c) Stegink, L.D., Koch, R., **[Palmer, P.J.**, replaced Blaskovics, M.E.], Filer, L.J., Jr., Baker, G.L., & McDonnell, J.E. "Plasma phenylalanine levels in phenylketonuric heterozygous and normal adults administered aspartame at 34mg/kg body weight." *Toxicology* 20:81-90, 1981.

(d) Stegink, L.D., Brummel, M.C., [**Palmer, P.J.**, replaced McMartin, K.], Martin-Amat, G., Filer, L.J., Jr., Baker, G.L., & Tephly, T.R. "Blood methanol concentrations in normal adult subjects administered abuse doses of aspartame." *Journal of Toxicology & Environmental Health* 7:281-290, 1981.

(e) Stegink, L.D., Reynolds, W.A., Pitkin, R.M., Cruikshank, D.P., & [**Palmer, P.J.**]. "Placental transfer of taurine in rhesus monkeys." *American Journal of Clinical Nutrition* 24:2685-2692, 1981.

(f) Stegink, L.D., Filer, L.J., Jr., Baker, G.L., & [**Palmer, P.J.**, replaced Brummel, M.C.]. "Plasma and erythrocyte amino acid levels of adult humans given l00mg/kg body weight aspartame." *Toxicology* 14:131-140, 1979.

(g) Weiss, N.S., Szekely, D.R., Austin, D.F., & [**Palmer, P.J.**]. "Increasing incidence of endometrial cancer in the United States." *New England Journal of Medicine* 294:1259-1262, 1976.

(h) Elwood, E.K., & [**Palmer, P.J.**, replaced Apostolopoulos, A.X]. "Analysis of developing enamel of the rat. II. Electrophoretic and amino acid studies." *Clinical Metabolic Studies* [sic] [should be *Calcified Tissue Research*] 17:327-335, 1975.

(i) Aronow, W.S., Goldsmith, J.R., Kern, J.C., Cassidy, J., [**Palmer, P.J.**], Johnson, L.L., Adams, W., & Nelson, W.H.

Case Summaries, Continued

"Effect of smoking cigarettes on cardiovascular hemodynamics." *Archives of Environmental Health* 28, 330-332, 1974.

(j) Seltzer, C.C., Friedman, G.D., Siegelaub, A.B., & [**Palmer, P.J.**, replaced Collen, M.F.]. "Smoking habits and pain tolerance." *Archives of Environmental Health* 29,170-172, 1974.

Ms. Palmer entered into a Voluntary Exclusion Agreement in which she voluntarily agreed for 3 years, beginning January 26, 2004: (1) to exclude herself from any contracting or subcontracting with any agency of the U.S. Government and from eligibility or involvement in nonprocurement programs referred to as "covered transactions" as defined in the debarment regulations at 45 C.F.R. Part 76; and (2) to exclude herself from serving in any advisory capacity to PHS.

Lajuane Woodard, University of Maryland, Baltimore (UMB): Based on the UMB report of an investigation, the respondent's admission, and additional analysis conducted by ORI in its oversight review, PHS found that Lajuane Woodard, former contractual employee, Department of Pediatrics at UMB, engaged in scientific misconduct in research supported by NIMH, NIH, grant 2 R01 MH54983, entitled "Effectiveness of Standard versus Embellished HIV Prevention." PHS found that Ms. Woodard engaged in scientific misconduct by fabricating interview records for the Focus on Teens HIV Risk Prevention Program for one interview allegedly performed in June 2001.

Ms. Woodard entered into a Voluntary Exclusion Agreement in which she voluntarily agreed for 3 years beginning October 30, 2003: (1) to exclude herself from serving in any advisory capacity to PHS; and (2) that her participation in any PHS-supported research will be conditioned on an appropriate Plan as follows: (i) any institution that submits an application for PHS support for a research project in which Ms. Woodard's participation is proposed or anticipated must concurrently submit a Plan to the funding agency for approval; and (ii) any institution using Ms. Woodard in any capacity in PHS-supported research must submit a Plan to the funding agency for approval, it must be designed to ensure the scientific integrity of her research contribution, and the institution must submit a copy of the Plan to ORI. Ms. Woodard agreed that she will not participate in any PHS-supported research until the Plan has been submitted to ORI.

Jianhua (James) Xu, M.S., University of Alberta (UA): Based on the UA Report, the respondent's admissions, and additional analysis conducted by ORI in its oversight review, PHS found that Jianhua (James) Xu, M.S., former technician at UA, engaged in scientific misconduct in research funded by NHLBI, NIH, grant R01 HL61751-01. Mr. Xu performed experiments on the enzyme lipid phosphate phosphatase-1 (LPP-1) from a family of enzymes that affect signal transduction by glycerolipid and sphingolipid phosphate esters as second messengers. A typical experiment involved the investigation of the effects on various glycerolipids, sphingolipids, and other related effector compounds on the activity of LPP-1 either in tissue culture cells or isolated enzyme preparations. Mr. Xu falsified data by adding vanadate to inhibit the enzyme LPP-1, in experiments that purported to show that the inhibition was the result of adding natural lipid effectors. He was also observed deliberately falsifying other colleagues' experiments in a similar manner. Mr. Xu admits that he alone was responsible for the falsification. Specifically, Mr. Xu committed scientific misconduct by falsifying data for Figures 1A, 1B, 1C, 2B, 2D, 3, 4, 5, 6, 7, and 8A that he published in: James Xu, *et al*. "Lipid phosphate phosphatase-1 and Ca^{2+} control lysophosphatidate signaling through EDG-2 receptors." *Journal of Biological Chemistry* 275:27520-27530, 2000. The paper was retracted in *Journal of Biological Chemistry* 278:38104, 2003. Due to the falsified data, Manuscript #C0007049 by Xu et al., "Transactivation of platelet-derived growth factor receptors by lysophosphatidate causes tryrosine phosphorylation of lipid phosphate phosphatase-1 a nd feedback inhibition of EDG-2 receptor activation" was withdrawn. Also, ORI concluded Mr. Xu committed scientific misconduct by deliberately falsifying experiments of other colleagues in the laboratory by adding vanadate to their experiments without the authorization or knowledge of his colleagues. Mr. Xu provided the following in an admission statement dated March 23, 2003:

> For the purpose of disposition of this matter by the Office of Research Integrity ("ORI") of the U.S. Department of Health and Human Services, I confirm that I began falsifying results of experiments, relating to the inhibition of the enzyme lipid phosphate phosphatase (LPP-1), in which I was initially involved. The falsification consisted of the addition of vanadate to tubes containing certain substances. In order to cover up my initial falsification, I also falsified the experiments of others who were doing related experiments. I only falsified these subsequent experiments to the extent necessary to cover up the original falsification and did not falsify any other experiments.

The research misconduct was significant because it focused on the study of signal transduction by lipid messenger molecules, which play an important role in regulating cellular processes as diverse as wound repair, regeneration of injured corneal tissues, adipocyte growth obesity, and cell division potentially involved in the development of cancers.

Mr. Xu entered into a Voluntary Exclusion Agreement in which he voluntarily agreed for 4 years, beginning November 10, 2003: (1) to exclude himself from any contracting or subcontracting with any agency of the U.S. Government and from eligibility or involvement in nonprocurement programs referred to as "covered transactions" as defined in the debarment regulations at 45 C.F.R. Part 76; and (2) to exclude himself from serving in any advisory capacity to PHS.

Conference, Workshop, and Meeting Proposals Due October 1, 2004

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 **October 1, 2004**. Proposal instructions and an application form are available on the ORI web site at http://ori.dhhs.gov/html/programs/conf-workshops.asp. Please submit your proposal electronically to cfassi@osophs.dhhs.gov. Dr. Carolyn Fassi may be reached 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

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