

Agency Reporting Requirements

Public Health Service

When an institution that is the recipient of a PHS award finds, learns of, or suspects research misconduct occurred that impacts—or could impact—the conduct or performance of that supported project(s), whether at the recipient organization or at a third-party sub-recipient organization, the recipient must work with the federal sponsor to assess the effect on the continuation of the project as originally approved by the sponsor. The recipient institution's engagement with ORI as provided in 42 CFR 93 does not substitute for its engagement with the PHS agency sponsor to ensure ongoing compliance with the terms and conditions of the award.

National Institutes of Health

- [Communicating Research Misconduct to the NIH](#)

National Science Foundation

- [Research Misconduct Policy](#)

Federal Research Misconduct Assurance Program

The Office of Research Integrity (ORI) is responsible for the Assurance and Compliance Program that monitors institutional compliance with the PHS Policies on Research Misconduct ([42 CFR 93](#)).

An institution is eligible for PHS funding when it has an assurance on file with ORI stating that it has developed and will comply with an administrative process for responding to allegations of research misconduct in PHS-supported research that complies with the PHS regulation cited above. An institution establishes an assurance when an institutional official signs the face-page (SF 424 (R&R) or PHS 398) of a grant application form or when the institution files a separate assurance form.

Once established, institutions maintain their assurance by filing the Annual Report on Possible Research Misconduct (between January 1st and April 30th each year), submitting their policy for responding to allegations of research misconduct for review when requested by ORI, revising their policy when requested by ORI to bring the policy into compliance with the PHS regulation, and complying with the PHS regulation.

The Compliance Review Program ensures that institutions comply with their policy and the PHS regulation in responding to allegations of research misconduct, monitors the implementation of PHS administrative actions by institutions and PHS agencies, and responds to retaliation complaints from whistleblowers.