

ASN Policy on Scientific Misconduct (Grants Program)

The American Society of Nephrology (ASN) upholds the highest standards of peer review. The work of applicants and reviewers contributes to our common aim of understanding the latest advances in basic, clinical, and translational research. In very rare instances, ASN may receive notification or allegations of misconduct related to grant applications and funding. Such questions or concerns may include but are not limited to questions regarding plagiarism, duplicate publication, access to data, integrity of data, or undeclared conflicts of interest. This policy sets forth ASN's process for responding to such notifications or allegations.

Questions or concerns raised prior to final decision or granting of award:

If a reviewer, concerned co-applicant or sponsor, or other third party raises a question or concern about a grant application that is then undergoing peer review, ASN will follow the following protocol:

- a. The Chair of the ASN Grants Review Committee will review the question or concern to determine if it can be addressed immediately or needs to be raised with the applicant.
- b. If the Committee Chair deems the question or concern to be unresolved following the procedure in a) above, ASN will notify the grant applicant and request a response to the question or concern from the applicant. It is the responsibility of applicant to inform all others involved with the project of the questions or concerns raised. The applicant will have 5 business days from the date of ASN's notice to respond, unless the reviewing Committee Chair grants additional time due to extenuating circumstances.
- c. If the reviewing Committee Chair determines that the applicant's response is not satisfactory (or if the applicant fails to respond to the reviewing Committee Chair's request), or if ASN is presented with evidence that raises serious concerns regarding the integrity of the grant application, the reviewing Committee Chair will notify the ASN Executive Director. The ASN Executive Director will determine ASN's response and course of action, which will be guided by, among other things, established ethical guidelines and applicable law. The course of action may include, but is not limited to, any or all of the following:
 - a. rejecting the submission;
 - b. prohibiting future submissions from the applicant to ASN for a specified period of time;
 - c. reporting ASN'S concerns to the applicant's institution;
 - d. reporting ASN'S concerns to any other funding agency if the grant is co-funded; and/or

- e. reporting ASN'S concerns to the Office of Research Integrity or other authorized investigative agency.

The Chair may, in his or her discretion, keep the ASN President informed of all developments.

Concerns or questions raised subsequent to final decision or granting of award:

If a question or concern is raised regarding a funded grant application, ASN will follow the following protocol:

- a. The question or concern will be presented to the Grants Review Chair to determine if it can be addressed immediately or needs to be raised with the applicant. If the Chair determines the issue needs to be raised with the applicant, ASN will notify the applicant and request a response to the stated question or concern. It is the responsibility of the applicant to inform all others involved with the proposed project of the questions or concerns raised. The applicant will have 5 business days from the date of ASN's notice to respond, unless the Committee Chair grants additional time due to extenuating circumstances.
- b. If the Committee Chair determines that the applicant's response is not satisfactory (or if the applicant fails to respond to the reviewing Committee Chair's request), or if ASN is presented with evidence that raises serious concerns regarding the integrity of the grant application, the Committee Chair will notify the ASN Executive Director. The ASN Executive Director will determine ASN's response and course of action, which will be guided by, among other things, established ethical guidelines and applicable law. The course of action may include, but is not limited to, any or all of the following:
 - a. reporting ASN's concerns to the applicant's institutions;
 - b. prohibiting future submissions from the applicant to ASN for a specified period of time;
 - c. reporting ASN's concerns to any other funding agency involved with the project;
 - d. reporting ASN's concerns to the Office of Research Integrity or other authorized investigative agency;
 - e. publishing a statement of concern;
 - f. issuing a retraction of award; and/or.