

From: [Carruthers, Bridget](#)
To: [Garfinkel, Susan J.](#); [Behnfeldt, Julia](#)
Subject: FW: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)
Date: Wednesday, January 26, 2022 8:39:53 AM
Attachments: [image001.png](#)



Bridget Carruthers, PhD, RBP

Associate Director
Research Integrity Officer
Office of Research Compliance
1960 Kenny Road, Room 224
Columbus, OH 43210
(614) 292-8178 Office
carruthers.39@osu.edu

Be safe today and remain a Buckeye tomorrow.

From: PLOS Pub Ethics <pub-ethics@plos.org>
Sent: Wednesday, January 26, 2022 8:38 AM
To: Carruthers, Bridget <carruthers.39@osu.edu>
Subject: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Dear Dr. Carruthers,

I hope this email finds you well. I'm emailing from the PLOS Publication Ethics team to follow up on your previous email (see below) regarding the following two articles published in PLOS ONE:

- Garofalo M, Jeon Y-J, Nuovo GJ, Middleton J, Secchiero P, Joshi P, et al. (2013) MiR-34a/c-Dependent PDGFR- α/β Downregulation Inhibits Tumorigenesis and Enhances TRAIL-Induced Apoptosis in Lung Cancer. PLoS ONE 8(6): e67581. <https://doi.org/10.1371/journal.pone.0067581>
- Garofalo M, Quintavalle C, Zanca C, De Rienzo A, Romano G, Acunzo M, et al. (2008) Akt Regulates Drug-Induced Cell Death through Bcl-w Downregulation. PLoS ONE 3(12): e4070. <https://doi.org/10.1371/journal.pone.0004070>

Thank you informing us of the concerns that were confirmed in these articles by the Ohio State University. We are following up with this information in line with Council on Publication Ethics (COPE) guidelines.

At this stage, our assessment of both articles is ongoing and we are considering if it will be appropriate to publish notices to inform readers of the concerns raised in your previous email. Do you consent to us mentioning in the notices that Ohio State University is the source of the information you provided? We would be happy to share the text of the notices with you before they are published, and you will have an opportunity to suggest changes to the text at

that time.

I would be grateful if you would respond to this query by Wednesday 2nd February. If you have any questions or require more information, please don't hesitate to get in touch by replying to this email and quoting the case number 07390947.

I look forward to hearing from you soon.

All the best,
Clare Mc Fadden
Senior Editor, Publication Ethics | She/Her

PLOS | plos.org
Empowering researchers to transform science
Carlyle House, Carlyle Road, Cambridge CB4 3DN, United Kingdom

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Case Number: 07390947
ref:_00DU0Ifis._5004P1iJOeX:ref

From: Carruthers, Bridget <carruthers.39@osu.edu>
Sent: 22 November 2021 17:29
To: Emily Chenette <echenette@plos.org>
Cc: gecondor@unina.it; michelagarofalo@unina.it; [REDACTED] Croce, Carlo M <carlo.croce@osumc.edu>
Subject: Request for correction

Dear Dr. Chenette,

The Ohio State University would like to request correction for the papers listed below. We are providing the full citations, the issues identified with the papers, and the forensic analysis for your review. We are providing this information to allow the journal to make an informed decision. Please contact me if you have any additional questions.

- **Garofalo M, Jeon YJ, Nuovo GJ, Middleton J, Secchiero P, Joshi P, Alder H, Nazaryan N, Di Leva G, Romano G, Crawford M, Nana-Sinkam P, Croce CM. "MiR-34a/c-Dependent PDGFR- α/β Downregulation Inhibits Tumorigenesis and Enhances TRAIL-Induced Apoptosis in Lung Cancer." PLoS One. 2013 Jun 21; 8 (6): e67581.**

The Ohio State University is requesting correction of PLoS One 2013 Jun 21; 8 (6): e67581. Following a review of the paper, a university committee found that Dr. Garofalo included eleven (11) specific instances of plagiarized text from various

sources in PLoS One 2013, Jun 21; 8 (6): e67581 without proper citation.

Dr. Garofalo corresponded with the journal and a correction was issued on June 25, 2015. However, the correction adequately addressed only six (6) of the eleven (11) instances of plagiarized text. The Committee reviewing this matter recommended that Dr. Garofalo find updated contact information and notify the journal of the additional five (5) instances of plagiarized text that do not include proper citations (see attached PowerPoint file – instances #1, #3, #4, #6, and #9).

Drs. Garofalo and Croce are copied on this request as they are co-corresponding authors on the paper.

Cancer Cell 2009/PLoS One 2008 – cross publication

- **Garofalo M, Di Leva G, Romano G, Nuovo G, Suh SS, Ngankeu A, Taccioli C, Pichiorri F, Alder H, Secchiero P, Gasparini P, Gonelli A, Costinean S, Acunzo M, Condorelli G, Croce CM. "miR-221&222 regulate TRAIL resistance and enhance tumorigenicity through PTEN and TIMP3 downregulation." Cancer Cell. 2009 Dec 8; 16 (6): 498-509.**
- **Michela Garofalo, Cristina Quintavalle, Ciro Zanca, Assunta De Rienzo, Giulia Romano, Mario Acunzo, Loredana Puca, Mariarosaria Incoronato, Carlo M. Croce, Gerolama Condorelli. "Akt Regulates Drug-Induced Cell Death through Bcl-w Downregulation." PLoS ONE 2008, 3(12):e4070**

The Ohio State University is requesting correction of Cancer Cell. 2009 Dec 8; 16 (6):498-509 and/or PLoS ONE 2008, 3(12):e4070. Following a review of the papers, a university committee found a re-use of data in Figure 1B in PLoS ONE 2008, 3(12):e4070 as follows:

- a) Dr. Garofalo falsified Western blot images in Figure 1G in **Cancer Cell 2009** and/or Figure 1B in **PLoS ONE 2008**, 3(12):e4070, by differentially cropping the beta-actin panel in Figure 1G, **Cancer Cell 2009** and using the data for an unrelated experiment in Figure 1B in PLoS ONE 2008 for both beta-actin, lanes 1-2 and Akt, lanes 2-3 (see attached file for figure forensics)

Dr. Condorelli is copied on this request as the corresponding author on the PLOS One 2008 publication and Dr. Croce is copied as the senior author at Ohio State University.

Steve Mao, Editor in Chief, Cancer Cell, smao@cell.com, is also being notified of this cross-publication issue.



Bridget Carruthers, PhD, RBP

Associate Director

Research Integrity Officer

Office of Research Compliance

1960 Kenny Road, Room 224
Columbus, OH 43210
(614) 292-8178 Office
carruthers.39@osu.edu

Be safe today and remain a Buckeye tomorrow.

From: [Carruthers, Bridget](#)
To: [Garfinkel, Susan J.](#)
Subject: FW: Request for correction
Date: Monday, November 22, 2021 4:03:34 PM
Attachments: [PLOS One 2008 figure forensics.pdf](#)
[PLOS One 2013 plagiarism forensics.pdf](#)
[image001.png](#)



Bridget Carruthers, PhD, RBP

Associate Director
Research Integrity Officer
Office of Research Compliance
1960 Kenny Road, Room 224
Columbus, OH 43210
(614) 292-8178 Office
carruthers.39@osu.edu

Be safe today and remain a Buckeye tomorrow.

From: Carruthers, Bridget
Sent: Monday, November 22, 2021 12:29 PM
To: echenette@plos.org
Cc: gecondor@unina.it; michelagarofalo@unina.it; Croce, Carlo M <carlo.croce@osumc.edu>
Subject: Request for correction

Dear Dr. Chenette,

The Ohio State University would like to request correction for the papers listed below. We are providing the full citations, the issues identified with the papers, and the forensic analysis for your review. We are providing this information to allow the journal to make an informed decision. Please contact me if you have any additional questions.

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the correction adequately addressed only six (6) of the eleven (11) instances of plagiarized text. The Committee reviewing this matter recommended that Dr. Garofalo find updated contact information and notify the journal of the additional five (5) instances of plagiarized text that do not include proper citations (see attached PowerPoint file – instances #1, #3, #4, #6, and #9).

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- **Michela Garofalo, Cristina Quintavalle, Ciro Zanca, Assunta De Rienzo, Giulia Romano, Mario Acunzo, Loredana Puca, Mariarosaria Incoronato, Carlo M. Croce, Gerolama Condorelli. "Akt Regulates Drug-Induced Cell Death through Bcl-w Downregulation." PLoS ONE 2008, 3(12):e4070**

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- a) Dr. Garofalo falsified Western blot images in Figure 1G in **Cancer Cell 2009** and/or Figure 1B in **PLoS ONE 2008**, 3(12):e4070, by differentially cropping the beta-actin panel in Figure 1G, **Cancer Cell 2009** and using the data for an unrelated experiment in Figure 1B in PLoS ONE 2008 for both beta-actin, lanes 1-2 and Akt, lanes 2-3 (see attached file for figure forensics)

Dr. Condorelli is copied on this request as the corresponding author on the PLoS One 2008 publication and Dr. Croce is copied as the senior author at Ohio State University.

Steve Mao, Editor in Chief, Cancer Cell, smao@cell.com, is also being notified of this cross-publication issue.



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Office of Research Compliance
1960 Kenny Road, Room 224

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Manuscript #1: Garofalo M, Di Leva G, Romano G, Nuovo G, Suh SS, Ngankeu A, Taccioli C, Pichiorri F, Alder H, Secchiero P, Gasparini P, Gonelli A, Costinean S, Acunzo M, Condorelli G, Croce CM. "miR-221&222 regulate TRAIL resistance and enhance tumorigenicity through PTEN and TIMP3 downregulation." *Cancer Cell*. 2009 Dec 8; 16(6): 498-509.

M#1, A#2 – Dr. Garofalo falsified Figure 1G and/or 1B data, in which the same data were used in **Cancer Cell 2009**, Figure 1G, in lanes 1 and 2 of the beta-actin panel, and in **Garofalo et al., PLoS ONE 2008**, Figure 1B, in lanes 1 and 2 of the beta-actin panel. The same data (different data than in lanes 1 and 2) were also used in *Cancer Cell 2009*, Figure 1G, in lanes 2 and 3 for beta-actin and in *Garofalo et al., PLoS ONE 2008*, Figure 1B, in lanes 1 and 2 for Akt panel.

M#1, A#2 – Dr. Garofalo falsified Figure 1G and/or 1B data, in which the same data were used in Cancer Cell 2009, Figure 1G, in lanes 1 and 2 of the beta-actin panel, and in Garofalo et al., PLoS ONE 2008, Figure 1B, in lanes 1 and 2 of the beta-actin panel. The same data (different data than in lanes 1 and 2) were also used in Cancer Cell 2009, Figure 1G, in lane 3 for beta-actin and in Garofalo et al., PLoS ONE 2008, Figure 1B, in lane 2 for Akt panel.

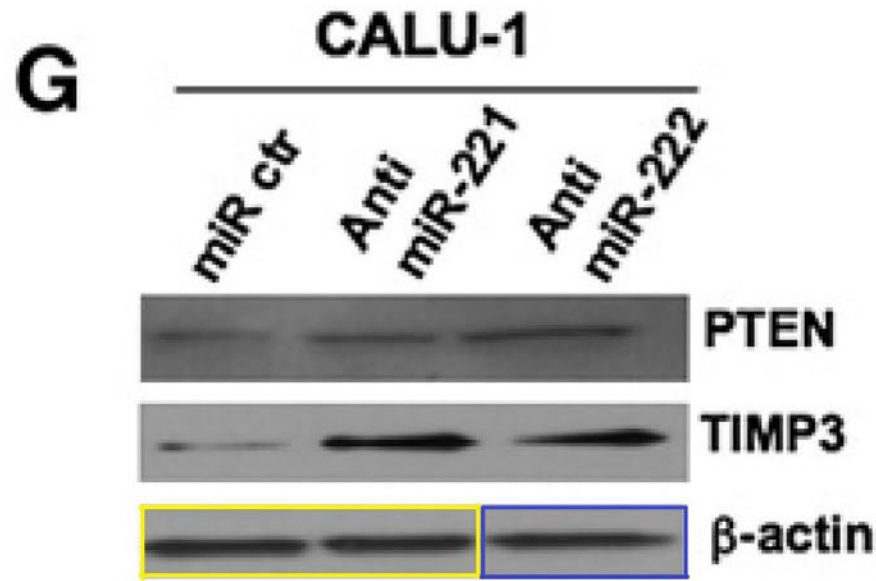


Figure 1G Cancer Cell 16,498.

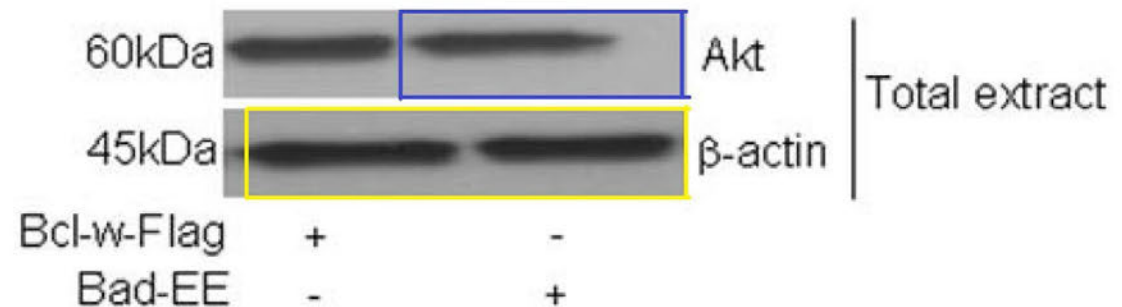


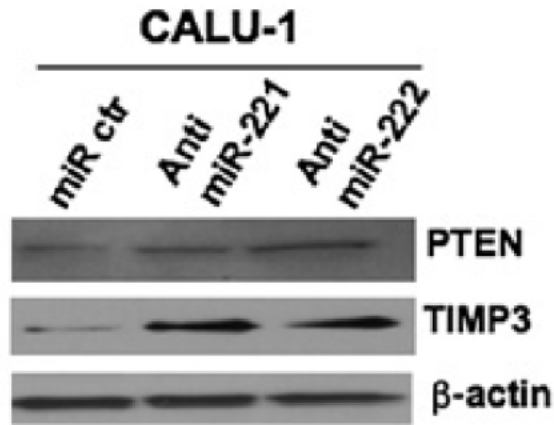
Figure 1B Plos One 3,e4070.

ORIGINAL ALLEGATION FROM PUBPEER

M#1, A#2 – Dr. Garofalo falsified Figure 1G and/or 1B data, in which the same data were used in Cancer Cell 2009, Figure 1G, in lanes 1 and 2 of the beta-actin panel, and in Garofalo et al., PLoS ONE 2008, Figure 1B, in lanes 1 and 2 of the beta-actin panel (see red boxes). The same data (different data than in lanes 1 and 2) were also used in Cancer Cell 2009, Figure 1G, in lanes 2 and 3 for beta-actin and in Garofalo et al., PLoS ONE 2008, Figure 1B, in lanes 1 and 2 for Akt panel (see green boxes).

Cancer Cell 2009

G



PLOS One 2008

B

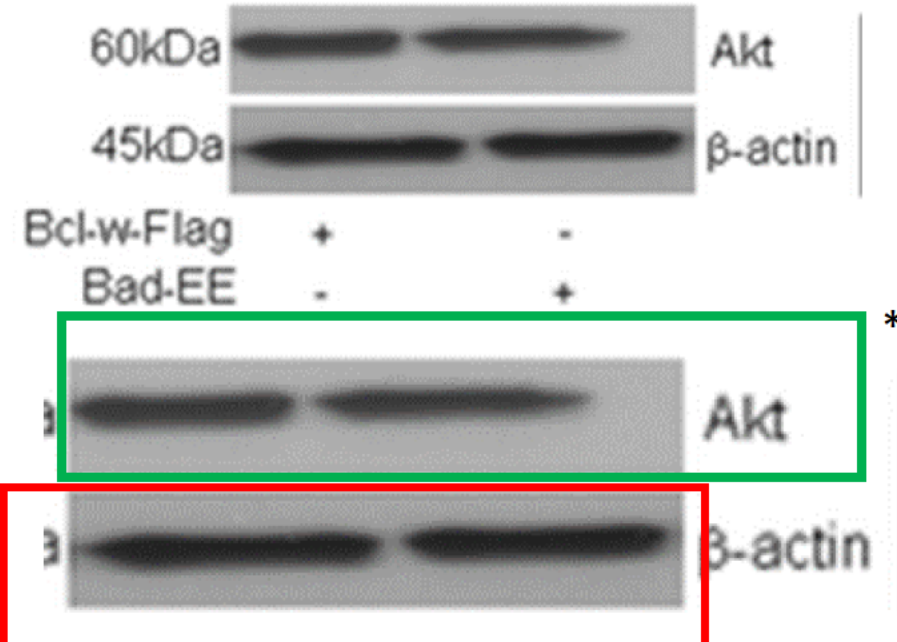


Figure 1B beta actin lanes 1-2 PLOS One 2008 overlaid on Figure 1G beta-actin lanes 1-2

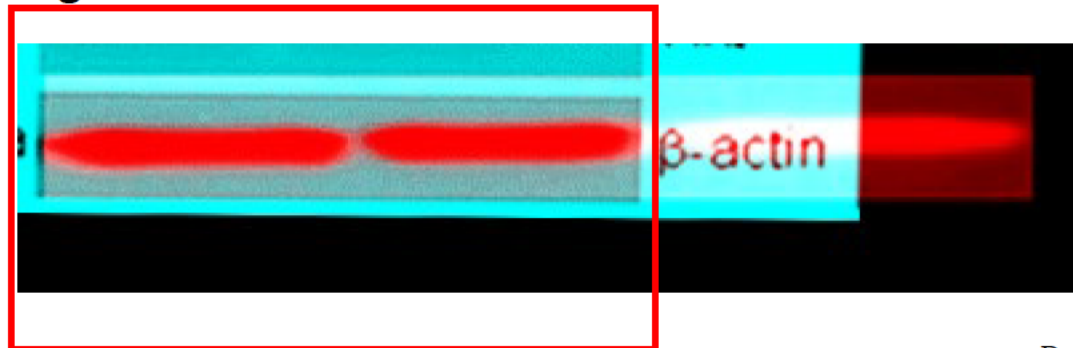
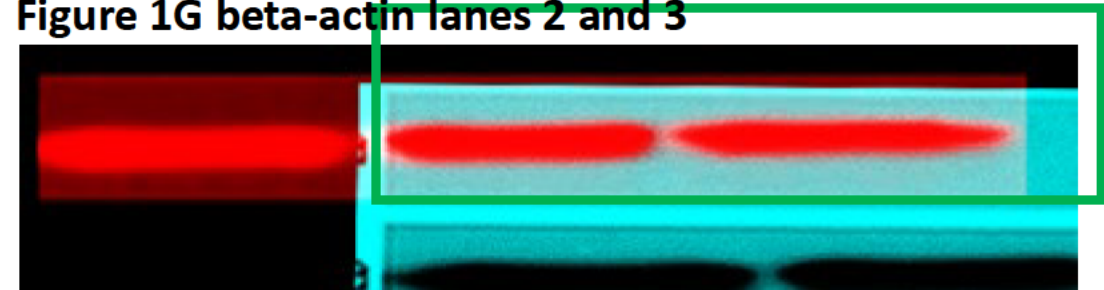


Figure 1B Akt PLOS One 2008 overlaid on Figure 1G beta-actin lanes 2 and 3



Dark features (“bands”) overlap will appear RED, and areas of overlapping background will appear CYAN. Features unique to one or the other image will be WHITE or BLACK.

Manuscript #3 Garofalo M, Jeon YJ, Nuovo GJ, Middleton J, Secchiero P, Joshi P, Alder H, Nazaryan N, Di Leva G, Romano G, Crawford M, Nana-Sinkam P, Croce CM. "MiR-34a/c-Dependent PDGFR- α/β Downregulation Inhibits Tumorigenesis and Enhances TRAIL-Induced Apoptosis in Lung Cancer." PLoS One. 2013 Jun 21; 8(6): e67581.

M#3, A#6 - Dr. Michaela Garofalo reported plagiarized text via the inclusion of eleven (11) instances of plagiarism in Garofalo et al. PLoS One 2013

From Complainant

Bolded text is allegedly plagiarized text followed by the source that was plagiarized.

1. **“Lung cancer is the leading cause of cancer mortality in the world today.”**

1. Lung cancer is the leading cause of cancer mortality in the world today.

FROM: Cell Volume 131, Issue 6, 14 December 2007, Pages 1190–1203 Global Survey of Phosphotyrosine Signaling Identifies Oncogenic Kinases in Lung Cancer Klarisa Rikova, Ailan Guo, Qingfu Zeng, Anthony Possemato, Jian Yu, Herbert Haack, Julie Nardone, Kimberly Lee, Cynthia Reeves, Yu Li, Yerong Hu, Zhiping Tan, Matthew Stokes, Laura Sullivan, Jeffrey Mitchell, Randy Wetzell, Joan MacNeill, Jian Min Ren, Jin Yuan, Corey E. Bakalarski, Judit Villen, Jon M. Kornhauser, Bradley Smith, Daiqiang Li, Xinmin Zhou, Steven P. Gygi, Ting-Lei Gu, Roberto D. Polakiewicz, John Rush, Michael J. Comb

3. **“Lung cancer is the most common cause of cancer death worldwide. Despite years of research, the prognosis for patients with lung cancer remains dismal. The most frequent type, non-small cell lung cancer (NSCLC) (85%), shows an overall five year survival of”**

3. Lung cancer is the most common cause of cancer death in Europe and worldwide. Despite years of research, the prognosis for patients with lung cancer remains dismal. The most frequent type, non-small-cell lung cancer (NSCLC) (85%), shows an overall 5 year survival of

FROM: <http://carcin.oxfordjournals.org/content/30/11/1903.full> Carcinogenesis (2009) 30 (11): 1903-1909. miR-34a as a prognostic marker of relapse in surgically resected non-small-cell lung cancer Elena Gallardo, Alfons Navarro, Nuria Vinolas, Ramon M. Marrades, Tania Diaz, Bernat Gel, Angels Quera, Eva Bandres, Jesus Garcia-Foncillas, Jose Ramirez and Mariano Monzo Despite years of research, the prognosis for patients with lung cancer remains dismal from Multidisciplinary Management of Lung Cancer Alexander Spira, M.D., Ph.D., and David S. Ettinger, M.D. N Engl J Med 2004;350:379-92.

4. **“Isoforms of platelet-derived growth factor receptor (PDGFR) and its ligand, PDGF, constitute a family of receptors and ligands involved in proliferative and prosurvival signaling within cells.”**

4. Isoforms of platelet-derived growth factor receptor (PDGFR) and its ligand, PDGF, constitute a family of receptors and ligands involved in proliferative and prosurvival signaling within cells.

FROM: <http://clincancerres.aacrjournals.org/content/13/15/4632s.full.pdf> Antagonism of Platelet-Derived Growth Factor Receptor in Non–Small Cell Lung Cancer: Rationale and Investigations Julie E. Bauman, Keith D. Eaton and Renato G. Martins Clin Cancer Res 2007;13:4632s-4636s.

From Complainant

Bolded text is allegedly plagiarized text followed by the source that was plagiarized.

6. “Given its progrowth role in cell signaling, PDGFR- α has become an attractive therapeutic target in a number of human malignancies. In non– small cell lung cancer, cytoplasmic PDGFR- α expression by tumor is a negative prognostic indicator, confirming that the PDGF axis may be biologically relevant.”

6. Given its progrowth role in cell signaling, PDGFR has been an attractive therapeutic target in a number of human malignancies. In non–small cell lung cancer (NSCLC), cytoplasmic PDGF expression by tumor is a negative prognostic indicator suggesting that the PDGF axis may be biologically relevant.

FROM: Antagonism of Platelet-Derived Growth Factor Receptor in Non–Small Cell Lung Cancer: Rationale and Investigations Julie E. Bauman, Keith D. Eaton and Renato G. Martins Clin Cancer Res 2007;13:4632s-4636s.

9. “Moreover, the promoter region of miR-34a, miR-34b and miR-34c contains CpG islands and aberrant CpG methylation reduces miR-34 family expression in multiple types of cancer”

9. Moreover, the promoter region of the MIRN34A gene contains CpG islands, and aberrant CpG methylation that reduces miR-34a expression levels has been reported in multiple types of cancer

FROM: <http://carcin.oxfordjournals.org/content/30/11/1903.full> Carcinogenesis (2009) 30 (11): 1903-1909. miR-34a as a prognostic marker of relapse in surgically resected non-small-cell lung cancer Elena Gallardo, Alfons Navarro, Nuria Vinolas, Ramon M. Marrades, Tania Diaz, Bernat Gel, Angels Quera, Eva Bandres, Jesus Garcia-Foncillas, Jose Ramirez and Mariano Monzo

Manuscript #3 (Allegation #6)

Instance #1

Abstract

Lung cancer is the leading cause of cancer mortality in the world today. Despite decades of intensive analysis, the therapy have been made, patient survival is still poor. MicroRNAs (miR

Garofalo et al. PLoS One 2013

Lung cancer is the leading cause of cancer mortality in the world today. Despite decades of intensive analysis, the

Rikova et al., Cell, 14 December 2007, 131(6):1190–1203

Manuscript #3 (Allegation #6)

Instance #3

Lung cancer is the most common cause of cancer death worldwide [1]. Despite years of research, the prognosis for patients with lung cancer remains dismal. The most frequent type, non-small cell lung cancer (NSCLC) (85%), shows an overall five year survival of 15%. Isoforms of platelet-derived growth factor receptor (PDGFR) and its ligand, PDGF.

Garofalo et al. PLoS One 2013

Lung cancer is the most common cause of cancer death in Europe and worldwide (1). Despite years of research, the prognosis for patients with lung cancer remains dismal. The most frequent type, non-small-cell lung cancer (NSCLC) (85%), shows an overall 5 year survival of

Gallardo et al., Carcinogenesis (2009) 30 (11): 1903-1909.
<http://carcin.oxfordjournals.org/content/30/11/1903.full>

Manuscript #3 (Allegation #6)

Instance #4

overall five year survival of 15%. Isoforms of platelet-derived growth factor receptor (PDGFR) and its ligand, PDGF, constitute a family of receptors and ligands involved in proliferative and pro-survival signaling within cells. The PDGFR/PDGF system includes two receptors (PDGFR α and PDGFR

Garofalo et al. PLoS One 2013

Isoforms of platelet-derived growth factor receptor (PDGFR) and its ligand, PDGF, constitute a family of receptors and ligands involved in proliferative and pro-survival signaling within cells. PDGFR is a tyrosine kinase receptor with two structurally related forms, PDGFR α and PDGFR β (3). PDGFR

Bauman et al., Clin Cancer Res 2007;13:4632s-4636s
<http://clincancerres.aacrjournals.org/content/13/15/4632s.full.pdf>

Manuscript #3 (Allegation #6)

Instance #6

cells in vitro [7]. Given its progrowth role in cell signaling, PDGFR- α has become an attractive therapeutic target in a

number of human malignancies. In non-small cell lung cancer, cytoplasmic PDGFR- α expression by tumor is a negative prognostic indicator [8], confirming that the PDGF axis may be biologically relevant. All members of the PDGF family display potent angiogenic activity *in vivo* and from this point of view

Garofalo et al. PLoS One 2013

Given its progrowth role in cell signaling, PDGFR has been an attractive therapeutic target in a number of human malignancies. Imatinib mesylate, a synthetic tyrosine kinase inhibitor best

rep. maintaining protein efficacy of PDGF receptor.

In non-small cell lung cancer (NSCLC), cytoplasmic PDGF expression by tumor is a negative prognostic indicator (10, 11), suggesting that the PDGF axis may be biologically relevant. The pattern of PDGF and PDGFR staining in human NSCLC was

Bauman et al. Clin Cancer Res 2007;13:4632s-4636s

Manuscript #3 (Allegation #6)

Instance #9

and miR-34c share a common primary transcript. Moreover, the promoter region of miR-34a, miR-34b and miR-34c contains CpG islands and aberrant CpG methylation reduces miR-34 family expression in multiple types of cancer [18,19,20].

Garofalo et al. PLoS One 2013

to DNA damage or oncogenic stress. Moreover, the promoter region of the *MIRN34A* gene contains CpG islands, and aberrant CpG methylation that reduces miR-34a expression levels has been reported in multiple types of cancer (36). The high frequency of miR-34 silencing in tumors suggests that the miR-34 family acts as a tumor suppressor

Gallardo et al., Carcinogenesis (2009)
30 (11): 1903-1909

From: [PLOS Pub Ethics](#)
To: [Garfinkel, Susan J.](#)
Cc: [Carruthers, Bridget](#); [Behnfeldt, Julia](#)
Subject: PLOS ONE: Update regarding two articles (pone.0004070 & pone.0067581)
Date: Thursday, April 21, 2022 7:44:23 AM

This Message Is From an External Sender

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Dear Susan,

I hope this email finds you well. I am writing in follow-up to our previous correspondence about the following two PLOS ONE articles:

1. "Akt Regulates Drug-Induced Cell Death through Bcl-w Downregulation," <https://doi.org/10.1371/journal.pone.0004070>
2. "MiR-34a/c-Dependent PDGFR- α/β Downregulation Inhibits Tumorigenesis and Enhances TRAIL-Induced Apoptosis in Lung Cancer," <https://doi.org/10.1371/journal.pone.0067581>

Notices were published for both articles on 20th April 2022.

The first article was formally retracted. The Notice of Retraction is available online at <https://doi.org/10.1371/journal.pone.0267621> and is also linked to the article's webpage. The original article will remain online, clearly marked as retracted, per the guidelines of the Committee on Publication Ethics (COPE).

For the second article, we posted a Correction which can be viewed through the article's webpage or at <https://doi.org/10.1371/journal.pone.0267628>.

Thank you for providing the journal with information about these two articles from the investigation by OSU, and for your assistance as we worked on these cases.

If you have any further questions about this matter, please feel free to respond to this email.

Best wishes,
Clare

Clare Mc Fadden, PhD
Senior Editor, Publication Ethics | She/Her
pub-ethics@plos.org

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Cambridge, United Kingdom

California (U.S.) corporation #C2354500, based in San Francisco

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Case Number: 03448655

ref: 00DU0Ifis._500U0Ctmwf:ref



From: [PLOS Pub Ethics](#)
To: [Garfinkel, Susan J.](#)
Cc: [Behnfeltdt, Julia](#); [Carruthers, Bridget](#)
Subject: PLOS post-publication case involving doi: 10.1371/journal.pone.0004070
Date: Friday, March 18, 2022 5:43:47 PM
Attachments: [image001.png](#)
[Draft3 RTN_pone.0004070_rh_clean.docx](#)

This Message Is From an External Sender

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Dear Susan,

Thank you very much for your reply and for resending the prior messages and attachments. Clare is out of the office this week and so I am filling in for her temporarily.

For pone.0004070, we concluded internally that the data falsification issues noted in your correspondence warrant full retraction of the article - instead of a correction - per [COPE Retraction Guidelines](#) and the [COPE guidance on data fabrication cases](#). (We appreciate that fabrication and falsification are different types of data issue, but we consider that the same principles apply in editorial decision-making.) Dr. Garofalo has expressed that the authors disagree with the retraction. PLOS ONE is upholding the retraction decision and we are currently in the process of finalizing the retraction notice.

The current version of the notice is attached here. Can you please review the notice and let us know (a) if we may have your permission to discuss OSU's investigation findings in the notice by way of explaining the reason(s) for the editorial decision; and (b) if yes, would you like us to make any revisions to the text, particularly to statements that discuss OSU's investigation and its findings?

In addition, can you please clarify the following information regarding the individual-level responsibility for the issues noted in your emails and report?

- Did your investigation specifically identify Dr. Garofalo as responsible for the data falsification issues?
- Were the other listed authors cleared of blame/responsibility for the noted issues?
- If responsibility was found to lie with Dr. Garofalo but not the other authors, are you comfortable with us noting this in the retraction notice?

Thank you for all of your help, and many thanks to OSU for investigating the issues raised about the PLOS ONE articles. We truly appreciate your support and look forward to hearing from you soon. If possible, we would be grateful if you could please reply within the coming week, but please let us know if you will need additional time.

Best regards,
Renee

Renee Hoch, Ph.D.
Senior Editor, Team Manager Publication Ethics

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1265 Battery Street, Floor 2, San Francisco, CA 94111
rhoch@plos.org | pub-ethics@plos.org

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Case Number: 07390947
ref:_00DU0Ifis._5004P1iJOeX:ref

----- Original Message -----

From: Garfinkel, Susan J. [garfinkel.18@osu.edu]
Sent: 3/14/2022 6:25 AM
To: pub-ethics@plos.org
Cc: behnfeldt.10@osu.edu; carruthers.39@osu.edu
Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

[CAUTION: External
Email.]

Hello Clare,

I am attaching the original email that was sent to PLOS One, including information about the PLOS one 2008 paper (pone.0004070) and Cancer Cell 2009. The findings is included in the email and the forensics are attached. Is this sufficient?

Susan

From: PLOS Pub Ethics <pub-ethics@plos.org>
Sent: Friday, March 11, 2022 1:12 PM
To: Garfinkel, Susan J. <garfinkel.18@osu.edu>
Cc: Behnfeldt, Julia <behnfeldt.10@osu.edu>; Carruthers, Bridget <carruthers.39@osu.edu>
Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Dear Susan,

I hope you're well. I'm emailing to ask if there is any additional information from the IOSU

investigation that you would be able to share with PLOS to assist in our assessment of the 2008 article (pone.0004070).

In particular, it would be helpful to us if you were able to share any more detail related to the 2008 article, including information about the conclusions that were made regarding this article, and if the investigation made any findings regarding personal responsibility for the issues raised.

Thank you again for your assistance with this matter.

Best wishes,
Clare

Clare Mc Fadden, PhD
Senior Editor, Publication Ethics | She/Her
pub-ethics@plos.org

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Case Number: 07390947
ref:_00DU0Ifis._5004P1iJOeX:ref

----- Original Message -----

From: PLOS Pub Ethics [pub-ethics@plos.org]
Sent: 25/02/2022 14:15
To: garfinkel.18@osu.edu
Cc: behnfeldt.10@osu.edu; carruthers.39@osu.edu
Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Dear Susan,

Thank for your reply, and for the suggested edit for the notice. I've now made this change, and I will keep the wording in mind when preparing the notice for the other article (pone.0004070).

Thank you for letting me know that you've been in touch with Steve Mao at Cancer Cell. I will get in touch with him directly regarding the resolution of our case.

Best wishes,
Clare

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Case Number: 07390947
ref:_00DU0Ifis._5004P1iJOeX:ref

----- Original Message -----

From: Garfinkel, Susan J. [garfinkel.18@osu.edu]
Sent: 25/02/2022 13:53
To: pub-ethics@plos.org
Cc: behnfeldt.10@osu.edu; carruthers.39@osu.edu
Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Dear Clare,

Thank you for including us, I appreciate the opportunity to comment on the correction notice. I have only one edit since it is the university that makes the final determination in research misconduct cases, I suggest:

After publication of this article [1] and correction [2], ~~the Committee of the Office of Research Compliance of the~~ The Ohio State University informed *PLOS ONE* of the outcome of an investigation into this article. This investigation concluded that the article contains additional instances of text overlap that were not acknowledged in the previous correction [2].

The 2nd paper PLOS 2008, 3(12):e4070 involves cross-publication between PLOS and Cancer Cell. I recently spoke with Steve Mao (smao@cell.com) and hope that you will be able to coordinate with him and the authors on a notice. Please let me now if you need any additional information.

Thanks,

Susan



Susan Garfinkel, Ph.D. | Associate Vice President for Research Compliance

The Ohio State University | Office of Research Compliance | 1960 Kenny Road, Room 206, Columbus, OH 43210

(614) 292-7150 | garfinkel.18@osu.edu

From: PLOS Pub Ethics <pub-ethics@plos.org>
Sent: Friday, February 25, 2022 7:59 AM
To: Garfinkel, Susan J. <garfinkel.18@osu.edu>
Cc: Behnfeldt, Julia <behnfeldt.10@osu.edu>; Carruthers, Bridget <carruthers.39@osu.edu>
Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Hi Susan,

I hope this email finds you well. I'm emailing to let you know that we are ready to proceed with an editorial decision on one of the two articles that we previously discussed:

- Garofalo M, Jeon Y-J, Nuovo GJ, Middleton J, Secchiero P, Joshi P, et al. (2013) MiR-34a/c-Dependent PDGFR- α/β Downregulation Inhibits Tumorigenesis and Enhances TRAIL-Induced Apoptosis in Lung Cancer. PLoS ONE 8(6): e67581. <https://doi.org/10.1371/journal.pone.0067581>

We have determined that a Correction is required to inform readers of some of the instances of plagiarised text reported by OSU, and of additional instances of text recycling of the authors' own previous work. Please find attached the draft Correction notice, which mentions the investigation by OSU. Please do let me know if you have any comments on the text in relation to the information about OSU. I would be grateful if you would respond with any comments by **Wednesday 2nd March**.

The authors have been given an opportunity to comment on the issues raised in the notice, and Prof. Croce responded to let us know that he agreed with the corrections. We are currently awaiting comments from the other authors, but we will proceed with publication of the notice if we do not hear back from all.

In relation to the second article (pone.0004070), we plan to discuss this with the authors shortly, so I will pass on the draft notice to you once it is finalised.

Thank you again for your assistance with this case.

Best wishes,
Clare

Clare Mc Fadden, PhD
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pub-ethics@plos.org

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Case Number: 07390947
ref:_00DU0Ifis._5004P1iJOeX:ref

----- Original Message -----

From: PLOS Pub Ethics [pub-ethics@plos.org]

Sent: 27/01/2022 15:44

To: garfinkel.18@osu.edu

Cc: behnfeldt.10@osu.edu; carruthers.39@osu.edu

Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Hi Susan,

Thanks very much for your quick reply, and for confirming that you are happy for us to mention the university in the notices.

The authors will have an opportunity to discuss the concerns with us, and to comment on the notices before they are published. We often include information provided by the authors in notices, depending on the specific details of the case. If we mention Ohio State University in the notices for these two articles, we will also give you an opportunity to provide feedback on the text before publication.

Thank you again for your help with these articles. We will be in touch again when there is further information to share on the resolution of the cases. If you have any questions in the meantime, please feel free to get in touch.

Best wishes,
Clare

Clare Mc Fadden, PhD

Senior Editor, Publication Ethics | She/Her
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Case Number: 07390947
ref: _00DU0Ifis._5004P1iJOeX:ref

----- Original Message -----

From: Garfinkel, Susan J. [garfinkel.18@osu.edu]

Sent: 27/01/2022 13:41

To: pub-ethics@plos.org

Cc: carruthers.39@osu.edu; behnfeldt.10@osu.edu

Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Hi Clare,

Your email was forwarded to me for a response. We do consent to mentioning in the notice that Ohio State University is the source of the information you received regarding **case number 07390947**.

I am wondering, do you copy the authors on the proposed notice? The university usually includes the authors to ensure they know what is happening and can provide any further comments.

Thanks,

Susan

Susan Garfinkel, Ph.D. | Associate Vice President for Research Compliance

The Ohio State University | Office of Research Compliance | 1960 Kenny Road, Room 206, Columbus, OH 43210

(614) 292-7150 | garfinkel.18@osu.edu

From: PLOS Pub Ethics <pub-ethics@plos.org>

Sent: Wednesday, January 26, 2022 8:38 AM

To: Carruthers, Bridget <carruthers.39@osu.edu>

Subject: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Dear Dr. Carruthers,

I hope this email finds you well. I'm emailing from the PLOS Publication Ethics team to follow up on your previous email (see below) regarding the following two articles published in PLOS ONE:

- Garofalo M, Jeon Y-J, Nuovo GJ, Middleton J, Secchiero P, Joshi P, et al. (2013) MiR-34a/c-Dependent PDGFR- α/β Downregulation Inhibits Tumorigenesis and Enhances TRAIL-Induced Apoptosis in Lung Cancer. PLoS ONE 8(6): e67581. <https://doi.org/10.1371/journal.pone.0067581>
- Garofalo M, Quintavalle C, Zanca C, De Rienzo A, Romano G, Acunzo M, et al. (2008) Akt Regulates Drug-Induced Cell Death through Bcl-w Downregulation. PLoS ONE 3(12): e4070. <https://doi.org/10.1371/journal.pone.0004070>

Thank you informing us of the concerns that were confirmed in these articles by the Ohio State University. We are following up with this information in line with Council on Publication Ethics (COPE) guidelines.

At this stage, our assessment of both articles is ongoing and we are considering if it will be appropriate to publish notices to inform readers of the concerns raised in your previous email. Do you consent to us mentioning in the notices that Ohio State University is the source of the information you provided? We would be happy to share the text of the notices with you before they are published, and you will have an opportunity to suggest changes to the text at that time.

I would be grateful if you would respond to this query by Wednesday 2nd February. If you have any questions or require more information, please don't hesitate to get in touch by replying to this email and quoting the case number 07390947.

I look forward to hearing from you soon.

All the best,
Clare Mc Fadden

Senior Editor, Publication Ethics | She/Her

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Case Number: 07390947

ref:_00DU0Ifis._5004P1iJOeX:ref

From: Carruthers, Bridget <carruthers.39@osu.edu>

Sent: 22 November 2021 17:29

To: Emily Chenette <echenette@plos.org>

Cc: gecondor@unina.it; michelagarofalo [REDACTED] Croce, Carlo M
<carlo.croce@osumc.edu>

Subject: Request for correction

Dear Dr. Chenette,

The Ohio State University would like to request correction for the papers listed below. We are providing the full citations, the issues identified with the papers, and the forensic analysis for your review. We are providing this information to allow the journal to make an informed decision. Please contact me if you have any additional questions.

- **Garofalo M, Jeon YJ, Nuovo GJ, Middleton J, Secchiero P, Joshi P, Alder H, Nazaryan N, Di Leva G, Romano G, Crawford M, Nana-Sinkam P, Croce CM. "MiR-34a/c-Dependent PDGFR- α/β Downregulation Inhibits Tumorigenesis and Enhances TRAIL-Induced Apoptosis in Lung Cancer." PLoS One. 2013 Jun 21; 8 (6): e67581.**

The Ohio State University is requesting correction of PLoS One 2013 Jun 21; 8 (6): e67581. Following a review of the paper, a university committee found that Dr. Garofalo included eleven (11) specific instances of plagiarized text from various sources in PLoS One 2013, Jun 21; 8 (6): e67581 without proper citation.

Dr. Garofalo corresponded with the journal and a correction was issued on June 25, 2015. However, the correction adequately addressed only six (6) of the eleven (11) instances of plagiarized text. The Committee reviewing this matter recommended that Dr. Garofalo find updated contact information and notify the journal of the additional five (5) instances of plagiarized text that do not include proper citations (see attached PowerPoint file – instances #1, #3, #4, #6, and #9).

Drs. Garofalo and Croce are copied on this request as they are co-corresponding authors on the paper.

Cancer Cell 2009/PLoS One 2008 – cross publication

- **Garofalo M, Di Leva G, Romano G, Nuovo G, Suh SS, Ngankeu A, Taccioli C, Pichiorri F, Alder H, Secchiero P, Gasparini P, Gonelli A, Costinean S, Acunzo M, Condorelli G, Croce CM. "miR-221&222 regulate TRAIL resistance and enhance tumorigenicity through PTEN and TIMP3 downregulation." *Cancer Cell*. 2009 Dec 8; 16 (6): 498-509.**
- **Michela Garofalo, Cristina Quintavalle, Ciro Zanca, Assunta De Rienzo, Giulia Romano, Mario Acunzo, Loredana Puca, Mariarosaria Incoronato, Carlo M. Croce, Gerolama Condorelli. "Akt Regulates Drug-Induced Cell Death through Bcl-w Downregulation." *PLoS ONE* 2008, 3(12):e4070**

The Ohio State University is requesting correction of *Cancer Cell*. 2009 Dec 8; 16 (6):498-509 and/or *PLoS ONE* 2008, 3(12):e4070. Following a review of the papers, a university committee found a re-use of data in Figure 1B in *PLoS ONE* 2008, 3(12):e4070 as follows:

- a) Dr. Garofalo falsified Western blot images in Figure 1G in ***Cancer Cell* 2009** and/or Figure 1B in ***PLoS ONE* 2008**, 3(12):e4070, by differentially cropping the beta-actin panel in Figure 1G, ***Cancer Cell* 2009** and using the data for an unrelated experiment in Figure 1B in *PLoS ONE* 2008 for both beta-actin, lanes 1-2 and Akt, lanes 2-3 (see attached file for figure forensics)

Dr. Condorelli is copied on this request as the corresponding author on the *PLOS One* 2008 publication and Dr. Croce is copied as the senior author at Ohio State University.

Steve Mao, Editor in Chief, *Cancer Cell*, smao@cell.com, is also being notified of this cross-publication issue.



Bridget Carruthers, PhD, RBP

Associate Director

Research Integrity Officer

Office of Research Compliance

1960 Kenny Road, Room 224

Columbus, OH 43210

(614) 292-8178 Office

carruthers.39@osu.edu

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Retraction: Akt Regulates Drug-Induced Cell Death through Bcl-w Downregulation

The *PLOS ONE* Editors

Following the publication of this article [1] and Expression of Concern [2], The Ohio State University informed PLOS of the outcome of an investigation into a figure in this article.

The investigation by The Ohio State University concluded that western blot images were falsified by Dr. Garofalo in Fig 1B in this article [1] and/or Fig 1G in [3]. The investigation concluded:

- Data for an unrelated experiment were used in Fig 1B of [1] to represent both Akt (lanes 1, 2) and β -actin (lanes 2, 3) results.
- The β -actin panel in Fig 1B of this article [1] reports the same data as lanes 1 and 2 of the β -actin panel in Fig 1G of [3], despite representing different experimental conditions.
- Lanes 1, 2 of the Akt panel in Fig 1B of this article [1] report the same data as lanes 2, 3 of the β -actin panel in Fig 1G of [3], despite representing different experimental conditions.

Concerns with Fig 1B had previously been noted in the Expression of Concern [2] and an Editor's Comment posted on [1] by the *PLOS ONE* Editors on 7th Feb 2020. The corresponding author previously informed the journal that the original blots for Fig 1B were no longer available, and that the images in Fig 1B of [1] and Fig 1G of [3] were not the same.

The information provided by The Ohio State University verifies concerns raised previously regarding the reliability and reuse of image data in Fig 1B, and confirms concerns about the integrity of data reporting in this figure. Therefore, in accordance with PLOS policy and COPE retraction guidelines, the *PLOS ONE* Editors retract this article.

In response to this retraction decision, MG expressed that she disagrees with the retraction decision and did not participate in preparation of any figures for this article [1], and that an author has contested the Ohio State University investigation.

[Author initials] agreed with the retraction. [author initials] either did not respond directly or could not be reached. [author initials] did not agree with the retraction. [Author initials] apologize for the issues with the published article.

References

1. Garofalo M, Quintavalle C, Zanca C, De Rienzo A, Romano G, et al. (2008) Akt Regulates Drug-Induced Cell Death through Bcl-w Downregulation. *PLOS ONE* 3(12): e4070. <https://doi.org/10.1371/journal.pone.0004070>
2. The PLOS ONE Editors (2019) Expression of Concern: Akt Regulates Drug-Induced Cell Death through Bcl-w Downregulation. *PLOS ONE* 14(3): e0213701. <https://doi.org/10.1371/journal.pone.0213701>
3. Garofalo M, Di Leva G, Romano G, Nuovo G, Suh SS, Ngankea A, Taccioli C, Pichiorri F, Alder H, Secchiero P, Gasparini P, Gonelli A, Costinean S, Acunzo M, Condorelli G, Croce CM. miR-221&222 regulate TRAIL resistance and enhance tumorigenicity through PTEN and TIMP3 downregulation. *Cancer Cell*. 2009 Dec 8;16(6):498-509. doi: 10.1016/j.ccr.2009.10.014.

From: [PLOS Pub Ethics](#)
To: [Garfinkel, Susan J.](#)
Cc: [Behnfeldt, Julia](#); [Carruthers, Bridget](#)
Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)
Date: Friday, February 25, 2022 8:00:06 AM
Attachments: [image001.png](#)
[Draft CXN_pone.0067581_24 Feb 2022.docx](#)

Hi Susan,

I hope this email finds you well. I'm emailing to let you know that we are ready to proceed with an editorial decision on one of the two articles that we previously discussed:

- Garofalo M, Jeon Y-J, Nuovo GJ, Middleton J, Secchiero P, Joshi P, et al. (2013) MiR-34a/c-Dependent PDGFR- α/β Downregulation Inhibits Tumorigenesis and Enhances TRAIL-Induced Apoptosis in Lung Cancer. PLoS ONE 8(6): e67581.
<https://doi.org/10.1371/journal.pone.0067581>

We have determined that a Correction is required to inform readers of some of the instances of plagiarised text reported by OSU, and of additional instances of text recycling of the authors' own previous work. Please find attached the draft Correction notice, which mentions the investigation by OSU. Please do let me know if you have any comments on the text in relation to the information about OSU. I would be grateful if you would respond with any comments by **Wednesday 2nd March**.

The authors have been given an opportunity to comment on the issues raised in the notice, and Prof. Croce responded to let us know that he agreed with the corrections. We are currently awaiting comments from the other authors, but we will proceed with publication of the notice if we do not hear back from all.

In relation to the second article (pone.0004070), we plan to discuss this with the authors shortly, so I will pass on the draft notice to you once it is finalised.

Thank you again for your assistance with this case.

Best wishes,
Clare

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pub-ethics@plos.org

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Case Number: 07390947
ref:_00DU0Ifis._5004P1iJOeX:ref

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From: PLOS Pub Ethics [pub-ethics@plos.org]
Sent: 27/01/2022 15:44
To: garfinkel.18@osu.edu
Cc: behnfeldt.10@osu.edu; carruthers.39@osu.edu
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Sent: 27/01/2022 13:41

To: pub-ethics@plos.org

Cc: carruthers.39@osu.edu; behnfeldt.10@osu.edu

Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

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Thanks,

Susan



Susan Garfinkel, Ph.D. | Associate Vice President for Research Compliance

The Ohio State University | Office of Research Compliance | 1960 Kenny Road, Room 206, Columbus, OH 43210

(614) 292-7150 | garfinkel.18@osu.edu

From: PLOS Pub Ethics <pub-ethics@plos.org>

Sent: Wednesday, January 26, 2022 8:38 AM

To: Carruthers, Bridget <carruthers.39@osu.edu>

Subject: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Dear Dr. Carruthers,

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I would be grateful if you would respond to this query by Wednesday 2nd February. If you have any questions or require more information, please don't hesitate to get in touch by replying to this email and quoting the case number 07390947.

I look forward to hearing from you soon.

All the best,
Clare Mc Fadden
Senior Editor, Publication Ethics | She/Her

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Case Number: 07390947
ref:_00DU0Ifis._5004P1iJOeX:ref

From: Carruthers, Bridget <carruthers.39@osu.edu>
Sent: 22 November 2021 17:29
To: Emily Chenette <echenette@plos.org>
Cc: gecondor@unina.it; michelagarofalo [REDACTED] Croce, Carlo M
<carlo.croce@osumc.edu>
Subject: Request for correction

Dear Dr. Chenette,

The Ohio State University would like to request correction for the papers listed below. We are providing the full citations, the issues identified with the papers, and the forensic analysis for your review. We are providing this information to allow the journal to make an informed decision. Please contact me if you have any additional questions.

- **Garofalo M, Jeon YJ, Nuovo GJ, Middleton J, Secchiero P, Joshi P, Alder H, Nazaryan N, Di Leva G, Romano G, Crawford M, Nana-Sinkam P, Croce CM. "MiR-34a/c-Dependent PDGFR- α / β Downregulation Inhibits Tumorigenesis and Enhances TRAIL-Induced Apoptosis in Lung Cancer." PLoS One. 2013 Jun 21; 8 (6): e67581.**

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Drs. Garofalo and Croce are copied on this request as they are co-corresponding authors on the paper.

Cancer Cell 2009/PLoS One 2008 – **cross publication**

- **Garofalo M, Di Leva G, Romano G, Nuovo G, Suh SS, Ngankeu A, Taccioli C, Pichiorri F, Alder H, Secchiero P, Gasparini P, Gonelli A, Costinean S, Acunzo M, Condorelli G, Croce CM. "miR-221&222 regulate TRAIL resistance and enhance tumorigenicity through PTEN and TIMP3 downregulation." Cancer Cell. 2009 Dec 8; 16 (6): 498-509.**
- **Michela Garofalo, Cristina Quintavalle, Ciro Zanca, Assunta De Rienzo, Giulia Romano, Mario Acunzo, Loredana Puca , Mariarosaria Incoronato , Carlo M. Croce , Gerolama Condorelli. "Akt Regulates Drug-Induced Cell Death through Bcl-w Downregulation." PLoS ONE 2008, 3(12):e4070**

The Ohio State University is requesting correction of Cancer Cell. 2009 Dec 8; 16 (6):498-509 and/or PLoS ONE 2008, 3(12):e4070. Following a review of the papers, a university committee found a re-use of data in Figure 1B in PLoS ONE 2008, 3(12):e4070 as follows:

- a) Dr. Garofalo falsified Western blot images in Figure 1G in **Cancer Cell 2009** and/or Figure 1B in **PLoS ONE 2008**, 3(12):e4070, by differentially cropping the beta-actin panel in Figure 1G, **Cancer Cell 2009** and using the data for an unrelated experiment in Figure 1B in PLoS ONE 2008 for both beta-actin, lanes 1-2 and Akt, lanes 2-3 (see attached file for figure forensics)

Dr. Condorelli is copied on this request as the corresponding author on the PLOS One 2008 publication and Dr. Croce is copied as the senior author at Ohio State University.

Steve Mao, Editor in Chief, Cancer Cell, smao@cell.com, is also being notified of this cross-publication issue.



Bridget Carruthers, PhD, RBP

Associate Director
 Research Integrity Officer
 Office of Research Compliance
 1960 Kenny Road, Room 224

Columbus, OH 43210
 (614) 292-8178 Office
carruthers.39@osu.edu

Be safe today and remain a Buckeye tomorrow.



Correction: MiR-34a/c-Dependent PDGFR- α/β Downregulation Inhibits Tumorigenesis and Enhances TRAIL-Induced Apoptosis in Lung Cancer

Michela Garofalo, Young-Jun Jeon, Gerard J. Nuovo, Justin Middleton, Paola Secchiero, Pooja Joshi, Hansjuerg Alder, Natalya Nazaryan, Gianpiero Di Leva, Giulia Romano, Melissa Crawford, Patrick Nana-Sinkam, Carlo M. Croce

After publication of this article [1] and correction [2], the Committee of the Office of Research Compliance of the Ohio State University informed *PLOS ONE* of the outcome of an investigation into this article. This investigation concluded that the article contains additional instances of text overlap that were not acknowledged in the previous correction [2].

We would like to acknowledge this and include the relevant references. It should be noted that no concerns have been raised regarding the originality of the work reported in the article, and that this has no bearing on the results and conclusions of the study.

In the Introduction section, there is some overlap in text with that from the following publications:

Bauman JE, Eaton KD and Martins RG (2007) Antagonism of Platelet-Derived Growth Factor Receptor in Non-Small Cell Lung Cancer: Rationale and Investigations. *Clin Cancer Res* (13) (15) 4632s-4636s. doi: 10.1158/1078-0432.CCR-07-0212 [3].

Gallardo E, Navarro A, Viñolas N, Marrades RM, Diaz T, Gel B et al. (2009) miR-34a as a prognostic marker of relapse in surgically resected non-small-cell lung cancer. *Carcinogenesis* Volume 30, Issue 11, 903–1909. doi: 10.1093/carcin/bgp219 [4].

The *PLOS ONE* Editors also identified instances where text from some of the authors' own previously published work was reused. There is overlap in text with the following previous publications that share some of the same authors as [1].

In the Results and Methods sections, there is some overlap in text with the following article:

Acunzo, M., Visone, R., Romano, G. et al. miR-130a targets MET and induces TRAIL-sensitivity in NSCLC by downregulating miR-221 and 222. *Oncogene* 31, 634–642 (2012). doi: 10.1038/onc.2011.260

In the Methods section, there is some overlap in text with the following articles:

Garofalo, M., Romano, G., Di Leva, G. et al. EGFR and MET receptor tyrosine kinase–altered microRNA expression induces tumorigenesis and gefitinib resistance in lung cancers. *Nat Med* 18, 74–82 (2012). doi: 10.1038/nm.2577

Garofalo, M., Quintavalle, C., Di Leva, G. et al. MicroRNA signatures of TRAIL resistance in human non-small cell lung cancer. *Oncogene* 27, 3845–3855 (2008). doi: 10.1038/onc.2008.6

In the legend, there is some overlap in text with the following article:

Garofalo M, Di Leva G, Romano G, Nuovo G, Suh SS et al. (2009) miR-221&222 regulate TRAIL resistance and enhance tumorigenicity through PTEN and TIMP3 downregulation. *Cancer Cell* 16(6): 498-509. doi:10.1016/j.ccr.2009.10.014

References

1. Garofalo M, Jeon YJ, Nuovo GJ, Middleton J, Secchiero P, et al. (2013) MiR-34a/c-Dependent PDGFR- α/β Downregulation Inhibits Tumorigenesis and Enhances TRAIL-Induced Apoptosis in Lung Cancer. PLOS ONE 8(6): e67581. <https://doi.org/10.1371/journal.pone.0067581>
2. Garofalo M, Jeon YJ, Nuovo GJ, Middleton J, Secchiero P, et al. (2015) Correction: MiR-34a/c-Dependent PDGFR- α/β Downregulation Inhibits Tumorigenesis and Enhances TRAIL-Induced Apoptosis in Lung Cancer. PLOS ONE 10(6): e0131729. <https://doi.org/10.1371/journal.pone.0131729>
3. Gallardo E, Navarro A, Viñolas N, Marrades RM, Diaz T, Gel B et al. (2009) miR-34a as a prognostic marker of relapse in surgically resected non-small-cell lung cancer. Carcinogenesis Volume 30, Issue 11, 903–1909. doi: 10.1093/carcin/bgp219
4. Bauman JE, Eaton KD and Martins RG (2007) Antagonism of Platelet-Derived Growth Factor Receptor in Non-Small Cell Lung Cancer: Rationale and Investigations. Clin Cancer Res (13) (15) 4632s-4636s. doi: 10.1158/1078-0432.CCR-07-0212

From: [PLOS Pub Ethics](#)
To: [Garfinkel, Susan J.](#)
Cc: [Behnfeldt, Julia](#); [Carruthers, Bridget](#)
Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)
Date: Friday, February 25, 2022 9:16:21 AM
Attachments: [image001.png](#)

Dear Susan,

Thank for your reply, and for the suggested edit for the notice. I've now made this change, and I will keep the wording in mind when preparing the notice for the other article (pone.0004070).

Thank you for letting me know that you've been in touch with Steve Mao at Cancer Cell. I will get in touch with him directly regarding the resolution of our case.

Best wishes,
Clare

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Case Number: 07390947
ref:_00DU0Ifis._5004P1iJOeX:ref

----- Original Message -----

From: Garfinkel, Susan J. [garfinkel.18@osu.edu]
Sent: 25/02/2022 13:53
To: pub-ethics@plos.org
Cc: behnfeldt.10@osu.edu; carruthers.39@osu.edu
Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Dear Clare,

Thank you for including us, I appreciate the opportunity to comment on the correction notice. I have only one edit since it is the university that makes the final determination in research misconduct cases, I suggest:

After publication of this article [1] and correction [2], ~~the Committee of the Office of Research Compliance of the~~ The Ohio State University informed *PLOS ONE* of the outcome of an investigation into this article. This investigation concluded that the article contains additional instances of text overlap that were not acknowledged in the previous correction [2].

The 2nd paper PLOS 2008, 3(12):e4070 involves cross-publication between PLOS and Cancer Cell. I recently spoke with Steve Mao (smao@cell.com) and hope that you will be able to coordinate with him and the authors on a notice. Please let me now if you need any additional information.

Thanks,

Susan



Susan Garfinkel, Ph.D. | Associate Vice President for Research Compliance

The Ohio State University | Office of Research Compliance | 1960 Kenny Road, Room 206, Columbus, OH 43210

(614) 292-7150 | garfinkel.18@osu.edu

From: PLOS Pub Ethics <pub-ethics@plos.org>

Sent: Friday, February 25, 2022 7:59 AM

To: Garfinkel, Susan J. <garfinkel.18@osu.edu>

Cc: Behnfeldt, Julia <behnfeldt.10@osu.edu>; Carruthers, Bridget <carruthers.39@osu.edu>

Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Hi Susan,

I hope this email finds you well. I'm emailing to let you know that we are ready to proceed with an editorial decision on one of the two articles that we previously discussed:

- Garofalo M, Jeon Y-J, Nuovo GJ, Middleton J, Secchiero P, Joshi P, et al. (2013) MiR-34a/c-Dependent PDGFR- α/β Downregulation Inhibits Tumorigenesis and Enhances TRAIL-Induced Apoptosis in Lung Cancer. PLoS ONE 8(6): e67581. <https://doi.org/10.1371/journal.pone.0067581>

We have determined that a Correction is required to inform readers of some of the instances of plagiarised text reported by OSU, and of additional instances of text recycling of the authors'

own previous work. Please find attached the draft Correction notice, which mentions the investigation by OSU. Please do let me know if you have any comments on the text in relation to the information about OSU. I would be grateful if you would respond with any comments by **Wednesday 2nd March**.

The authors have been given an opportunity to comment on the issues raised in the notice, and Prof. Croce responded to let us know that he agreed with the corrections. We are currently awaiting comments from the other authors, but we will proceed with publication of the notice if we do not hear back from all.

In relation to the second article (pone.0004070), we plan to discuss this with the authors shortly, so I will pass on the draft notice to you once it is finalised.

Thank you again for your assistance with this case.

Best wishes,
Clare

Clare Mc Fadden, PhD
Senior Editor, Publication Ethics | She/Her
pub-ethics@plos.org

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Case Number: 07390947
ref:_00DU0Ifis._5004P1iJOeX:ref

----- Original Message -----

From: PLOS Pub Ethics [pub-ethics@plos.org]

Sent: 27/01/2022 15:44

To: garfinkel.18@osu.edu

Cc: behnfeldt.10@osu.edu; carruthers.39@osu.edu

Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Hi Susan,

Thanks very much for your quick reply, and for confirming that you are happy for us to mention the university in the notices.

The authors will have an opportunity to discuss the concerns with us, and to comment on the notices before they are published. We often include information provided by the authors in notices, depending on the specific details of the case. If we mention Ohio State University in the notices for these two articles, we will also give you an opportunity to provide feedback on the text before publication.

Thank you again for your help with these articles. We will be in touch again when there is further information to share on the resolution of the cases. If you have any questions in the meantime, please feel free to get in touch.

Best wishes,
Clare

Clare Mc Fadden, PhD
Senior Editor, Publication Ethics | She/Her
pub-ethics@plos.org

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Case Number: 07390947
ref:_00DU0Ifis._5004P1iJOeX:ref

----- Original Message -----

From: Garfinkel, Susan J. [garfinkel.18@osu.edu]

Sent: 27/01/2022 13:41

To: pub-ethics@plos.org

Cc: carruthers.39@osu.edu; behnfeldt.10@osu.edu

Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Hi Clare,

Your email was forwarded to me for a response. We do consent to mentioning in the notice that Ohio State University is the source of the information you received regarding **case number 07390947**.

I am wondering, do you copy the authors on the proposed notice? The university usually includes the authors to ensure they know what is happening and can provide any further comments.

Thanks,

Susan



Susan Garfinkel, Ph.D. | Associate Vice President for Research Compliance

The Ohio State University | Office of Research Compliance | 1960 Kenny Road, Room 206, Columbus, OH 43210

(614) 292-7150 | garfinkel.18@osu.edu

From: PLOS Pub Ethics <pub-ethics@plos.org>

Sent: Wednesday, January 26, 2022 8:38 AM

To: Carruthers, Bridget <carruthers.39@osu.edu>

Subject: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Dear Dr. Carruthers,

I hope this email finds you well. I'm emailing from the PLOS Publication Ethics team to follow up on your previous email (see below) regarding the following two articles published in PLOS ONE:

- Garofalo M, Jeon Y-J, Nuovo GJ, Middleton J, Secchiero P, Joshi P, et al. (2013) MiR-34a/c-Dependent PDGFR- α/β Downregulation Inhibits Tumorigenesis and Enhances TRAIL-Induced Apoptosis in Lung Cancer. PLoS ONE 8(6): e67581. <https://doi.org/10.1371/journal.pone.0067581>
- Garofalo M, Quintavalle C, Zanca C, De Rienzo A, Romano G, Acunzo M, et al. (2008) Akt Regulates Drug-Induced Cell Death through Bcl-w Downregulation. PLoS ONE 3(12): e4070. <https://doi.org/10.1371/journal.pone.0004070>

Thank you informing us of the concerns that were confirmed in these articles by the Ohio State University. We are following up with this information in line with Council on Publication Ethics (COPE) guidelines.

At this stage, our assessment of both articles is ongoing and we are considering if it will be

appropriate to publish notices to inform readers of the concerns raised in your previous email. Do you consent to us mentioning in the notices that Ohio State University is the source of the information you provided? We would be happy to share the text of the notices with you before they are published, and you will have an opportunity to suggest changes to the text at that time.

I would be grateful if you would respond to this query by Wednesday 2nd February. If you have any questions or require more information, please don't hesitate to get in touch by replying to this email and quoting the case number 07390947.

I look forward to hearing from you soon.

All the best,
Clare Mc Fadden
Senior Editor, Publication Ethics | She/Her

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Carlyle House, Carlyle Road, Cambridge CB4 3DN, United Kingdom

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Case Number: 07390947
ref:_00DU0Ifis._5004P1iJOeX:ref

From: Carruthers, Bridget <carruthers.39@osu.edu>
Sent: 22 November 2021 17:29
To: Emily Chenette <echenette@plos.org>
Cc: gecondor@unina.it; michelagarofalo [REDACTED] Croce, Carlo M <carlo.croce@osumc.edu>
Subject: Request for correction

Dear Dr. Chenette,

The Ohio State University would like to request correction for the papers listed below. We are providing the full citations, the issues identified with the papers, and the forensic analysis for your review. We are providing this information to allow the journal to make an informed decision. Please contact me if you have any additional questions.

- **Garofalo M, Jeon YJ, Nuovo GJ, Middleton J, Secchiero P, Joshi P, Alder H, Nazaryan N, Di Leva G, Romano G, Crawford M, Nana-Sinkam P, Croce CM. "MiR-34a/c-Dependent PDGFR- α/β Downregulation Inhibits Tumorigenesis and Enhances TRAIL-Induced Apoptosis in Lung Cancer." PLoS One. 2013 Jun 21; 8 (6): e67581.**

The Ohio State University is requesting correction of PLoS One 2013 Jun 21; 8 (6): e67581. Following a review of the paper, a university committee found that Dr. Garofalo included eleven (11) specific instances of plagiarized text from various sources in PLoS One 2013, Jun 21; 8 (6): e67581 without proper citation.

Dr. Garofalo corresponded with the journal and a correction was issued on June 25, 2015. However, the correction adequately addressed only six (6) of the eleven (11) instances of plagiarized text. The Committee reviewing this matter recommended that Dr. Garofalo find updated contact information and notify the journal of the additional five (5) instances of plagiarized text that do not include proper citations (see attached PowerPoint file – instances #1, #3, #4, #6, and #9).

Drs. Garofalo and Croce are copied on this request as they are co-corresponding authors on the paper.

Cancer Cell 2009/PLoS One 2008 – cross publication

- **Garofalo M, Di Leva G, Romano G, Nuovo G, Suh SS, Ngankeu A, Taccioli C, Pichiorri F, Alder H, Secchiero P, Gasparini P, Gonelli A, Costinean S, Acunzo M, Condorelli G, Croce CM. "miR-221&222 regulate TRAIL resistance and enhance tumorigenicity through PTEN and TIMP3 downregulation." Cancer Cell. 2009 Dec 8; 16 (6): 498-509.**
- **Michela Garofalo, Cristina Quintavalle, Ciro Zanca, Assunta De Rienzo, Giulia Romano, Mario Acunzo, Loredana Puca, Mariarosaria Incoronato, Carlo M. Croce, Gerolama Condorelli. "Akt Regulates Drug-Induced Cell Death through Bcl-w Downregulation." PLoS ONE 2008, 3(12):e4070**

The Ohio State University is requesting correction of Cancer Cell. 2009 Dec 8; 16 (6):498-509 and/or PLoS ONE 2008, 3(12):e4070. Following a review of the papers, a university committee found a re-use of data in Figure 1B in PLoS ONE 2008, 3(12):e4070 as follows:

- a) Dr. Garofalo falsified Western blot images in Figure 1G in **Cancer Cell 2009**

and/or Figure 1B in **PLoS ONE 2008**, 3(12):e4070, by differentially cropping the beta-actin panel in Figure 1G, **Cancer Cell 2009** and using the data for an unrelated experiment in Figure 1B in PLoS ONE 2008 for both beta-actin, lanes 1-2 and Akt, lanes 2-3 (see attached file for figure forensics)

Dr. Condorelli is copied on this request as the corresponding author on the PLOS One 2008 publication and Dr. Croce is copied as the senior author at Ohio State University.

Steve Mao, Editor in Chief, Cancer Cell, smao@cell.com, is also being notified of this cross-publication issue.



Bridget Carruthers, PhD, RBP

Associate Director
Research Integrity Officer
Office of Research Compliance
1960 Kenny Road, Room 224

Columbus, OH 43210
(614) 292-8178 Office
carruthers.39@osu.edu

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From: [Garfinkel, Susan J.](#)
To: [PLOS Pub Ethics](#)
Cc: [Behnfeldt, Julia](#); [Carruthers, Bridget](#)
Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)
Date: Monday, March 14, 2022 9:25:00 AM
Attachments: [FW Request for correction.msg](#)
[image001.png](#)

Hello Clare,

I am attaching the original email that was sent to PLOS One, including information about the PLOS one 2008 paper (pone.0004070) and Cancer Cell 2009. The findings is included in the email and the forensics are attached. Is this sufficient?

Susan

From: PLOS Pub Ethics <pub-ethics@plos.org>
Sent: Friday, March 11, 2022 1:12 PM
To: Garfinkel, Susan J. <garfinkel.18@osu.edu>
Cc: Behnfeldt, Julia <behnfeldt.10@osu.edu>; Carruthers, Bridget <carruthers.39@osu.edu>
Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Dear Susan,

I hope you're well. I'm emailing to ask if there is any additional information from the IOSU investigation that you would be able to share with PLOS to assist in our assessment of the 2008 article (pone.0004070).

In particular, it would be helpful to us if you were able to share any more detail related to the 2008 article, including information about the conclusions that were made regarding this article, and if the investigation made any findings regarding personal responsibility for the issues raised.

Thank you again for your assistance with this matter.

Best wishes,
Clare

Clare Mc Fadden, PhD
Senior Editor, Publication Ethics | She/Her
pub-ethics@plos.org

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Case Number: 07390947
ref:_00DU0Ifis._5004P1iJOeX:ref

----- Original Message -----

From: PLOS Pub Ethics [pub-ethics@plos.org]
Sent: 25/02/2022 14:15
To: garfinkel.18@osu.edu
Cc: behnfeldt.10@osu.edu; carruthers.39@osu.edu
Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Dear Susan,

Thank for your reply, and for the suggested edit for the notice. I've now made this change, and I will keep the wording in mind when preparing the notice for the other article (pone.0004070).

Thank you for letting me know that you've been in touch with Steve Mao at Cancer Cell. I will get in touch with him directly regarding the resolution of our case.

Best wishes,
Clare

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Case Number: 07390947
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----- Original Message -----

From: Garfinkel, Susan J. [garfinkel.18@osu.edu]
Sent: 25/02/2022 13:53
To: pub-ethics@plos.org
Cc: behnfeldt.10@osu.edu; carruthers.39@osu.edu
Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles

(pone.0067581 and pone.0004070)

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The 2nd paper PLOS 2008, 3(12):e4070 involves cross-publication between PLOS and Cancer Cell. I recently spoke with Steve Mao (smao@cell.com) and hope that you will be able to coordinate with him and the authors on a notice. Please let me now if you need any additional information.

Thanks,
Susan



Susan Garfinkel, Ph.D. | Associate Vice President for Research Compliance

The Ohio State University | Office of Research Compliance | 1960 Kenny Road, Room 206, Columbus, OH 43210
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From: PLOS Pub Ethics <pub-ethics@plos.org>
Sent: Friday, February 25, 2022 7:59 AM
To: Garfinkel, Susan J. <garfinkel.18@osu.edu>
Cc: Behnfelddt, Julia <behnfelddt.10@osu.edu>; Carruthers, Bridget <carruthers.39@osu.edu>
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<https://doi.org/10.1371/journal.pone.0067581>

We have determined that a Correction is required to inform readers of some of the instances of plagiarised text reported by OSU, and of additional instances of text recycling of the authors' own previous work. Please find attached the draft Correction notice, which mentions the investigation by OSU. Please do let me know if you have any comments on the text in relation to the information about OSU. I would be grateful if you would respond with any comments by **Wednesday 2nd March**.

The authors have been given an opportunity to comment on the issues raised in the notice, and Prof. Croce responded to let us know that he agreed with the corrections. We are currently awaiting comments from the other authors, but we will proceed with publication of the notice if we do not hear back from all.

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Thank you again for your assistance with this case.

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Clare

Clare Mc Fadden, PhD
Senior Editor, Publication Ethics | She/Her
pub-ethics@plos.org

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Case Number: 07390947
ref:_00DU0Ifis._5004P1iJOeX:ref

----- Original Message -----

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Sent: 27/01/2022 15:44

To: garfinkel.18@osu.edu

Cc: behnfeldt.10@osu.edu; carruthers.39@osu.edu

Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

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Clare

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Senior Editor, Publication Ethics | She/Her
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Case Number: 07390947
ref:_00DU0Ifis._5004P1iJOeX:ref

----- Original Message -----

From: Garfinkel, Susan J. [garfinkel.18@osu.edu]
Sent: 27/01/2022 13:41
To: pub-ethics@plos.org
Cc: carruthers.39@osu.edu; behnfeldt.10@osu.edu
Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Hi Clare,
Your email was forwarded to me for a response. We do consent to mentioning in the notice that Ohio State University is the source of the information you received regarding **case number 07390947**.

I am wondering, do you copy the authors on the proposed notice? The university usually includes the authors to ensure they know what is happening and can provide any further comments.

Thanks,
Susan

Susan Garfinkel, Ph.D. | Associate Vice President for Research Compliance

The Ohio State University | Office of Research Compliance | 1960 Kenny Road, Room 206, Columbus, OH 43210
(614) 292-7150 | garfinkel.18@osu.edu

From: PLOS Pub Ethics <pub-ethics@plos.org>

Sent: Wednesday, January 26, 2022 8:38 AM

To: Carruthers, Bridget <carruthers.39@osu.edu>

Subject: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Dear Dr. Carruthers,

I hope this email finds you well. I'm emailing from the PLOS Publication Ethics team to follow up on your previous email (see below) regarding the following two articles published in PLOS ONE:

- Garofalo M, Jeon Y-J, Nuovo GJ, Middleton J, Secchiero P, Joshi P, et al. (2013) MiR-34a/c-Dependent PDGFR- α/β Downregulation Inhibits Tumorigenesis and Enhances TRAIL-Induced Apoptosis in Lung Cancer. PLoS ONE 8(6): e67581. <https://doi.org/10.1371/journal.pone.0067581>
- Garofalo M, Quintavalle C, Zanca C, De Rienzo A, Romano G, Acunzo M, et al. (2008) Akt Regulates Drug-Induced Cell Death through Bcl-w Downregulation. PLoS ONE 3(12): e4070. <https://doi.org/10.1371/journal.pone.0004070>

Thank you informing us of the concerns that were confirmed in these articles by the Ohio State University. We are following up with this information in line with Council on Publication Ethics (COPE) guidelines.

At this stage, our assessment of both articles is ongoing and we are considering if it will be appropriate to publish notices to inform readers of the concerns raised in your previous email. Do you consent to us mentioning in the notices that Ohio State University is the source of the information you provided? We would be happy to share the text of the notices with you before they are published, and you will have an opportunity to suggest changes to the text at that time.

I would be grateful if you would respond to this query by Wednesday 2nd February. If you have any questions or require more information, please don't hesitate to get in touch by replying to this email and quoting the case number 07390947.

I look forward to hearing from you soon.

All the best,
Clare Mc Fadden
Senior Editor, Publication Ethics | She/Her

Carlyle House, Carlyle Road, Cambridge CB4 3DN, United Kingdom

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Case Number: 07390947
ref:_00DU0Ifis._5004P1iJOeX:ref

From: Carruthers, Bridget <carruthers.39@osu.edu>
Sent: 22 November 2021 17:29
To: Emily Chenette <echenette@plos.org>
Cc: gecondor@unina.it; michelagarofalo@unina.it; [REDACTED] Croce, Carlo M <carlo.croce@osumc.edu>
Subject: Request for correction

Dear Dr. Chenette,

The Ohio State University would like to request correction for the papers listed below. We are providing the full citations, the issues identified with the papers, and the forensic analysis for your review. We are providing this information to allow the journal to make an informed decision. Please contact me if you have any additional questions.

- **Garofalo M, Jeon YJ, Nuovo GJ, Middleton J, Secchiero P, Joshi P, Alder H, Nazaryan N, Di Leva G, Romano G, Crawford M, Nana-Sinkam P, Croce CM. "MiR-34a/c-Dependent PDGFR- α/β Downregulation Inhibits Tumorigenesis and Enhances TRAIL-Induced Apoptosis in Lung Cancer." PLoS One. 2013 Jun 21; 8 (6): e67581.**

The Ohio State University is requesting correction of PLoS One 2013 Jun 21; 8 (6): e67581. Following a review of the paper, a university committee found that Dr. Garofalo included eleven (11) specific instances of plagiarized text from various sources in PLoS One 2013, Jun 21; 8 (6): e67581 without proper citation.

Dr. Garofalo corresponded with the journal and a correction was issued on June 25, 2015. However, the correction adequately addressed only six (6) of the eleven (11) instances of plagiarized text. The Committee reviewing this matter recommended that Dr. Garofalo find updated contact information and notify the journal of the additional five (5) instances of plagiarized text that do not include proper citations (see attached PowerPoint file – instances #1, #3, #4, #6, and #9).

Drs. Garofalo and Croce are copied on this request as they are co-corresponding authors on the paper.

Cancer Cell 2009/PLoS One 2008 – **cross publication**

- **Garofalo M, Di Leva G, Romano G, Nuovo G, Suh SS, Ngankeu A, Taccioli C, Pichiorri F, Alder H, Secchiero P, Gasparini P, Gonelli A, Costinean S, Acunzo M,**

Condorelli G, Croce CM. "miR-221&222 regulate TRAIL resistance and enhance tumorigenicity through PTEN and TIMP3 downregulation." *Cancer Cell*. 2009 Dec 8; 16 (6): 498-509.

- **Michela Garofalo, Cristina Quintavalle, Ciro Zanca, Assunta De Rienzo, Giulia Romano, Mario Acunzo, Loredana Puca , Mariarosaria Incoronato , Carlo M. Croce , Gerolama Condorelli. "Akt Regulates Drug-Induced Cell Death through Bcl-w Downregulation." PLoS ONE 2008, 3(12):e4070**

The Ohio State University is requesting correction of *Cancer Cell*. 2009 Dec 8; 16 (6):498-509 and/or *PLoS ONE* 2008, 3(12):e4070. Following a review of the papers, a university committee found a re-use of data in Figure 1B in *PLoS ONE* 2008, 3(12):e4070 as follows:

- a) Dr. Garofalo falsified Western blot images in Figure 1G in **Cancer Cell 2009** and/or Figure 1B in **PLoS ONE 2008**, 3(12):e4070, by differentially cropping the beta-actin panel in Figure 1G, **Cancer Cell 2009** and using the data for an unrelated experiment in Figure 1B in *PLoS ONE* 2008 for both beta-actin, lanes 1-2 and Akt, lanes 2-3 (see attached file for figure forensics)

Dr. Condorelli is copied on this request as the corresponding author on the *PLOS One* 2008 publication and Dr. Croce is copied as the senior author at Ohio State University.

Steve Mao, Editor in Chief, *Cancer Cell*, smao@cell.com, is also being notified of this cross-publication issue.



Bridget Carruthers, PhD, RBP

Associate Director

Research Integrity Officer

Office of Research Compliance

1960 Kenny Road, Room 224

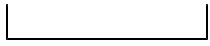
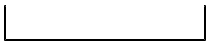
Columbus, OH 43210

(614) 292-8178 Office

carruthers.39@osu.edu

Be safe today and remain a Buckeye tomorrow.

|
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|
|



From: Garfinkel, Susan J.
To: pub-ethics@plos.org
Cc: Carruthers, Bridget; Behnfeldt, Julia
Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)
Date: Thursday, January 27, 2022 8:41:00 AM
Attachments: [image001.png](#)

Hi Clare,

Your email was forwarded to me for a response. We do consent to mentioning in the notice that Ohio State University is the source of the information you received regarding **case number 07390947**.

I am wondering, do you copy the authors on the proposed notice? The university usually includes the authors to ensure they know what is happening and can provide any further comments.

Thanks,
Susan



THE OHIO STATE UNIVERSITY

Susan Garfinkel, Ph.D. | Associate Vice President for Research Compliance

The Ohio State University | Office of Research Compliance | 1960 Kenny Road, Room 206, Columbus, OH 43210
(614) 292-7150 | garfinkel.18@osu.edu

From: PLOS Pub Ethics <pub-ethics@plos.org>
Sent: Wednesday, January 26, 2022 8:38 AM
To: Carruthers, Bridget <carruthers.39@osu.edu>
Subject: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Dear Dr. Carruthers,

I hope this email finds you well. I'm emailing from the PLOS Publication Ethics team to follow up on your previous email (see below) regarding the following two articles published in PLOS ONE:

- Garofalo M, Jeon Y-J, Nuovo GJ, Middleton J, Secchiero P, Joshi P, et al. (2013) MiR-34a/c-Dependent PDGFR- α/β Downregulation Inhibits Tumorigenesis and Enhances TRAIL-Induced Apoptosis in Lung Cancer. PLoS ONE 8(6): e67581. <https://doi.org/10.1371/journal.pone.0067581>
- Garofalo M, Quintavalle C, Zanca C, De Rienzo A, Romano G, Acunzo M, et al. (2008) Akt Regulates Drug-Induced Cell Death through Bcl-w Downregulation. PLoS ONE 3(12): e4070. <https://doi.org/10.1371/journal.pone.0004070>

Thank you informing us of the concerns that were confirmed in these articles by the Ohio State University. We are following up with this information in line with Council on Publication Ethics (COPE) guidelines.

At this stage, our assessment of both articles is ongoing and we are considering if it will be appropriate to publish notices to inform readers of the concerns raised in your previous email. Do you consent to us mentioning in the notices that Ohio State University is the source

of the information you provided? We would be happy to share the text of the notices with you before they are published, and you will have an opportunity to suggest changes to the text at that time.

I would be grateful if you would respond to this query by Wednesday 2nd February. If you have any questions or require more information, please don't hesitate to get in touch by replying to this email and quoting the case number 07390947.

I look forward to hearing from you soon.

All the best,
Clare Mc Fadden
Senior Editor, Publication Ethics | She/Her

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Case Number: 07390947
ref:_00DU0Ifis._5004P1iJOeX:ref

From: Carruthers, Bridget <carruthers.39@osu.edu>
Sent: 22 November 2021 17:29
To: Emily Chenette <echenette@plos.org>
Cc: gecondor@unina.it; michelagarofalo@unina.it [REDACTED] Croce, Carlo M <carlo.croce@osumc.edu>
Subject: Request for correction

Dear Dr. Chenette,

The Ohio State University would like to request correction for the papers listed below. We are providing the full citations, the issues identified with the papers, and the forensic analysis for your review. We are providing this information to allow the journal to make an informed decision. Please contact me if you have any additional questions.

- **Garofalo M, Jeon YJ, Nuovo GJ, Middleton J, Secchiero P, Joshi P, Alder H, Nazaryan N, Di Leva G, Romano G, Crawford M, Nana-Sinkam P, Croce CM. "MiR-34a/c-Dependent PDGFR- α/β Downregulation Inhibits Tumorigenesis and Enhances TRAIL-Induced Apoptosis in Lung Cancer." PLoS One. 2013 Jun 21; 8 (6): e67581.**

The Ohio State University is requesting correction of PLoS One 2013 Jun 21; 8 (6): e67581. Following a review of the paper, a university committee found that Dr.

Garofalo included eleven (11) specific instances of plagiarized text from various sources in PLoS One 2013, Jun 21; 8 (6): e67581 without proper citation.

Dr. Garofalo corresponded with the journal and a correction was issued on June 25, 2015. However, the correction adequately addressed only six (6) of the eleven (11) instances of plagiarized text. The Committee reviewing this matter recommended that Dr. Garofalo find updated contact information and notify the journal of the additional five (5) instances of plagiarized text that do not include proper citations (see attached PowerPoint file – instances #1, #3, #4, #6, and #9).

Drs. Garofalo and Croce are copied on this request as they are co-corresponding authors on the paper.

Cancer Cell 2009/PLoS One 2008 – cross publication

- **Garofalo M, Di Leva G, Romano G, Nuovo G, Suh SS, Ngankea A, Taccioli C, Pichiorri F, Alder H, Secchiero P, Gasparini P, Gonelli A, Costinean S, Acunzo M, Condorelli G, Croce CM. "miR-221&222 regulate TRAIL resistance and enhance tumorigenicity through PTEN and TIMP3 downregulation." Cancer Cell. 2009 Dec 8; 16 (6): 498-509.**
- **Michela Garofalo, Cristina Quintavalle, Ciro Zanca, Assunta De Rienzo, Giulia Romano, Mario Acunzo, Loredana Puca, Mariarosaria Incoronato, Carlo M. Croce, Gerolama Condorelli. "Akt Regulates Drug-Induced Cell Death through Bcl-w Downregulation." PLoS ONE 2008, 3(12):e4070**

The Ohio State University is requesting correction of Cancer Cell. 2009 Dec 8; 16 (6):498-509 and/or PLoS ONE 2008, 3(12):e4070. Following a review of the papers, a university committee found a re-use of data in Figure 1B in PLoS ONE 2008, 3(12):e4070 as follows:

- a) Dr. Garofalo falsified Western blot images in Figure 1G in **Cancer Cell 2009** and/or Figure 1B in **PLoS ONE 2008**, 3(12):e4070, by differentially cropping the beta-actin panel in Figure 1G, **Cancer Cell 2009** and using the data for an unrelated experiment in Figure 1B in PLoS ONE 2008 for both beta-actin, lanes 1-2 and Akt, lanes 2-3 (see attached file for figure forensics)

Dr. Condorelli is copied on this request as the corresponding author on the PLoS One 2008 publication and Dr. Croce is copied as the senior author at Ohio State University.

Steve Mao, Editor in Chief, Cancer Cell, smao@cell.com, is also being notified of this cross-publication issue.



Bridget Carruthers, PhD, RBP

Associate Director

Research Integrity Officer

Office of Research Compliance

1960 Kenny Road, Room 224

Columbus, OH 43210
(614) 292-8178 Office
carruthers.39@osu.edu

Be safe today and remain a Buckeye tomorrow.

From: [Garfinkel, Susan J.](#)
To: [PLOS Pub Ethics](#)
Cc: [Carruthers, Bridget](#); [Behnfeldt, Julia](#)
Subject: RE: PLOS ONE: Update regarding two articles (pone.0004070 & pone.0067581)
Date: Thursday, April 21, 2022 1:22:00 PM
Attachments: [image001.png](#)

Thanks, Clare for providing this information and for your help in getting the correction/retraction accomplished.

Susan



Susan Garfinkel, Ph.D. | Associate Vice President for Research Compliance
The Ohio State University | Office of Research Compliance | 1960 Kenny Road, Room 206, Columbus, OH 43210
(614) 292-7150 | garfinkel.18@osu.edu

From: PLOS Pub Ethics <pub-ethics@plos.org>
Sent: Thursday, April 21, 2022 7:44 AM
To: Garfinkel, Susan J. <garfinkel.18@osu.edu>
Cc: Carruthers, Bridget <carruthers.39@osu.edu>; Behnfeldt, Julia <behnfeldt.10@osu.edu>
Subject: PLOS ONE: Update regarding two articles (pone.0004070 & pone.0067581)

This Message Is From an External Sender

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Dear Susan,

I hope this email finds you well. I am writing in follow-up to our previous correspondence about the following two PLOS ONE articles:

1. "Akt Regulates Drug-Induced Cell Death through Bcl-w Downregulation," <https://doi.org/10.1371/journal.pone.0004070>
2. "MiR-34a/c-Dependent PDGFR- α/β Downregulation Inhibits Tumorigenesis and Enhances TRAIL-Induced Apoptosis in Lung Cancer," <https://doi.org/10.1371/journal.pone.0067581>

Notices were published for both articles on 20th April 2022.

The first article was formally retracted. The Notice of Retraction is available online at <https://doi.org/10.1371/journal.pone.0267621> and is also linked to the article's webpage. The original article will remain online, clearly marked as retracted, per the guidelines of the Committee on Publication Ethics (COPE).

For the second article, we posted a Correction which can be viewed through the article's webpage or at <https://doi.org/10.1371/journal.pone.0267628>.

Thank you for providing the journal with information about these two articles from the investigation by OSU, and for your assistance as we worked on these cases.

If you have any further questions about this matter, please feel free to respond to this email.

Best wishes,
Clare

Clare Mc Fadden, PhD
Senior Editor, Publication Ethics | She/Her
pub-ethics@plos.org

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Cambridge, United Kingdom

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Case Number: 03448655
ref:_00DU0Ifis._500U0Ctmwf:ref

From: [PLOS Pub Ethics](#)
To: [Garfinkel, Susan J.](#)
Cc: [Behnfeldt, Julia](#); [Carruthers, Bridget](#)
Subject: RE: PLOS post-publication case involving doi: 10.1371/journal.pone.0004070
Date: Monday, March 21, 2022 2:24:16 PM
Attachments: [image001.png](#)

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[Report Suspicious](#)

Dear Susan,

Thank you so much for providing replies to Renee's queries and for your comment on the text of the notice. I greatly appreciate your continued assistance with this case.

Thank you for confirming that the investigation found that Dr. Garofalo was responsible for the inclusion of false data in Fig 1B. We discussed this retraction with Dr. Garofalo, and she disputed that she was responsible for the false data. She informed PLOS that she provided OSU with a letter from Prof. Condorelli stating that Dr. Garofalo did not participate in the preparation of any of the figures in this article (pone.0004070).

Could you let me know if you received such a letter from Prof. Conforelli or Dr. Garofalo? If so, is it possible for you to provide us with the letter? Please also let me know if this letter was taken into account during the investigation of this article. If it wasn't taken into account, please let us know why.

Any further information you can provide us regarding this letter would be a great help to us in finalising the text of the retraction notice.

Thank you again for your help with this. I look forward to hearing from you again soon.

Best wishes,
Clare

Clare Mc Fadden, PhD
Senior Editor, Publication Ethics | She/Her
pub-ethics@plos.org

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Case Number: 07390947

ref:_00DU0Ifis._5004P1iJOeX:ref

----- Original Message -----

From: Garfinkel, Susan J. [garfinkel.18@osu.edu]

Sent: 21/03/2022 14:26

To: pub-ethics@plos.org

Cc: behnfeldt.10@osu.edu; carruthers.39@osu.edu

Subject: RE: PLOS post-publication case involving doi: 10.1371/journal.pone.0004070

Hello Renee,

Thanks for the update about the paper. We note that the university will make a recommendation for correcting the research record, but recognize the decisions are made by the journals. Below are the responses to your questions. If you have any questions, please let me know and we can set up a call.

Susan

let us know (a) if we may have your permission to discuss OSU's investigation findings in the notice by way of explaining the reason(s) for the editorial decision – **yes**

and (b) if yes, would you like us to make any revisions to the text, particularly to statements that discuss OSU's investigation and its findings – **yes – see important comment in attached document**

Did your investigation specifically identify Dr. Garofalo as responsible for the data falsification issues? **yes**

Were the other listed authors cleared of blame/responsibility for the noted issues? **the investigation found Dr. Garofalo was responsible for the inclusion of false data was and there was insufficient evidence to suggest that other co-authors were responsible for any research misconduct (which is slightly different than saying that the all other co-authors were cleared of any blame or responsibility).**

If responsibility was found to lie with Dr. Garofalo but not the other authors, are you comfortable with us noting this in the retraction notice? **yes**

From: PLOS Pub Ethics <pub-ethics@plos.org>
Sent: Friday, March 18, 2022 5:42 PM
To: Garfinkel, Susan J. <garfinkel.18@osu.edu>
Cc: Behnfeldt, Julia <behnfeldt.10@osu.edu>; Carruthers, Bridget <carruthers.39@osu.edu>
Subject: PLOS post-publication case involving doi: 10.1371/journal.pone.0004070

Dear Susan,

Thank you very much for your reply and for resending the prior messages and attachments. Clare is out of the office this week and so I am filling in for her temporarily.

For pone.0004070, we concluded internally that the data falsification issues noted in your correspondence warrant full retraction of the article - instead of a correction - per [COPE Retraction Guidelines](#) and the [COPE guidance on data fabrication cases](#). (We appreciate that fabrication and falsification are different types of data issue, but we consider that the same principles apply in editorial decision-making.) Dr. Garofalo has expressed that the authors disagree with the retraction. PLOS ONE is upholding the retraction decision and we are currently in the process of finalizing the retraction notice.

The current version of the notice is attached here. Can you please review the notice and let us know (a) if we may have your permission to discuss OSU's investigation findings in the notice by way of explaining the reason(s) for the editorial decision; and (b) if yes, would you like us to make any revisions to the text, particularly to statements that discuss OSU's investigation and its findings?

In addition, can you please clarify the following information regarding the individual-level responsibility for the issues noted in your emails and report?

- Did your investigation specifically identify Dr. Garofalo as responsible for the data falsification issues?
- Were the other listed authors cleared of blame/responsibility for the noted issues?
- If responsibility was found to lie with Dr. Garofalo but not the other authors, are you comfortable with us noting this in the retraction notice?

Thank you for all of your help, and many thanks to OSU for investigating the issues raised about the PLOS ONE articles. We truly appreciate your support and look forward to hearing from you soon. If possible, we would be grateful if you could please reply within the coming week, but please let us know if you will need additional time.

Best regards,
Renee

Renee Hoch, Ph.D.
Senior Editor, Team Manager Publication Ethics

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1265 Battery Street, Floor 2, San Francisco, CA 94111
rhoch@plos.org | pub-ethics@plos.org

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Case Number: 07390947
ref:_00DU0Ifis._5004P1iJOeX:ref

----- Original Message -----

From: Garfinkel, Susan J. [garfinkel.18@osu.edu]

Sent: 3/14/2022 6:25 AM

To: pub-ethics@plos.org

Cc: behnfeldt.10@osu.edu; carruthers.39@osu.edu

Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

[CAUTION: External
Email.]

Hello Clare,

I am attaching the original email that was sent to PLOS One, including information about the PLOS one 2008 paper (pone.0004070) and Cancer Cell 2009. The findings is included in the email and the forensics are attached. Is this sufficient?

Susan

From: PLOS Pub Ethics <pub-ethics@plos.org>

Sent: Friday, March 11, 2022 1:12 PM

To: Garfinkel, Susan J. <garfinkel.18@osu.edu>

Cc: Behnfeldt, Julia <behnfeldt.10@osu.edu>; Carruthers, Bridget <carruthers.39@osu.edu>

Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581)

and pone.0004070)

Dear Susan,

I hope you're well. I'm emailing to ask if there is any additional information from the IOSU investigation that you would be able to share with PLOS to assist in our assessment of the 2008 article (pone.0004070).

In particular, it would be helpful to us if you were able to share any more detail related to the 2008 article, including information about the conclusions that were made regarding this article, and if the investigation made any findings regarding personal responsibility for the issues raised.

Thank you again for your assistance with this matter.

Best wishes,
Clare

Clare Mc Fadden, PhD
Senior Editor, Publication Ethics | She/Her
pub-ethics@plos.org

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Case Number: 07390947
ref:_00DU0Ifis._5004P1iJOeX:ref

----- Original Message -----

From: PLOS Pub Ethics [pub-ethics@plos.org]

Sent: 25/02/2022 14:15

To: garfinkel.18@osu.edu

Cc: behnfeldt.10@osu.edu; carruthers.39@osu.edu

Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Dear Susan,

Thank for your reply, and for the suggested edit for the notice. I've now made this change, and I will keep the wording in mind when preparing the notice for the other article (pone.0004070).

Thank you for letting me know that you've been in touch with Steve Mao at Cancer Cell. I will get in touch with him directly regarding the resolution of our case.

Best wishes,
Clare

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California (U.S.) corporation #C2354500, based in San Francisco

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Case Number: 07390947
ref:_00DU0Ifis._5004P1iJOeX:ref

----- Original Message -----

From: Garfinkel, Susan J. [garfinkel.18@osu.edu]

Sent: 25/02/2022 13:53

To: pub-ethics@plos.org

Cc: behnfeldt.10@osu.edu; carruthers.39@osu.edu

Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Dear Clare,

Thank you for including us, I appreciate the opportunity to comment on the correction notice. I have only one edit since it is the university that makes the final determination in research misconduct cases, I suggest:

After publication of this article [1] and correction [2], ~~the Committee of the Office of Research Compliance of the~~ The Ohio State University informed *PLOS ONE* of the outcome of an investigation into this article. This investigation concluded that the article contains additional instances of text overlap that were not acknowledged in the previous correction [2].

The 2nd paper PLOS 2008, 3(12):e4070 involves cross-publication between PLOS and Cancer Cell. I recently spoke with Steve Mao (smao@cell.com) and hope that you will be able to coordinate with him and the authors on a notice. Please let me know if you need any additional information.

Thanks,

Susan



Susan Garfinkel, Ph.D. | Associate Vice President for Research Compliance

The Ohio State University | Office of Research Compliance | 1960 Kenny Road, Room 206, Columbus, OH 43210

(614) 292-7150 | garfinkel.18@osu.edu

From: PLOS Pub Ethics <pub-ethics@plos.org>

Sent: Friday, February 25, 2022 7:59 AM

To: Garfinkel, Susan J. <garfinkel.18@osu.edu>

Cc: Behnfeldt, Julia <behnfeldt.10@osu.edu>; Carruthers, Bridget <carruthers.39@osu.edu>

Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Hi Susan,

I hope this email finds you well. I'm emailing to let you know that we are ready to proceed with an editorial decision on one of the two articles that we previously discussed:

1. Garofalo M, Jeon Y-J, Nuovo GJ, Middleton J, Secchiero P, Joshi P, et al. (2013) MiR-34a/c-Dependent PDGFR- α/β Downregulation Inhibits Tumorigenesis and Enhances TRAIL-Induced Apoptosis in Lung Cancer. PLoS ONE 8(6): e67581.
<https://doi.org/10.1371/journal.pone.0067581>

We have determined that a Correction is required to inform readers of some of the instances of plagiarised text reported by OSU, and of additional instances of text recycling of the authors' own previous work. Please find attached the draft Correction notice, which mentions the investigation by OSU. Please do let me know if you have any comments on the text in relation to the information about OSU. I would be grateful if you would respond with any comments by **Wednesday 2nd March**.

The authors have been given an opportunity to comment on the issues raised in the notice, and Prof. Croce responded to let us know that he agreed with the corrections. We are currently

awaiting comments from the other authors, but we will proceed with publication of the notice if we do not hear back from all.

In relation to the second article (pone.0004070), we plan to discuss this with the authors shortly, so I will pass on the draft notice to you once it is finalised.

Thank you again for your assistance with this case.

Best wishes,
Clare

Clare Mc Fadden, PhD
Senior Editor, Publication Ethics | She/Her
pub-ethics@plos.org

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California (U.S.) corporation #C2354500, based in San Francisco

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Case Number: 07390947
ref:_00DU0Ifis._5004P1iJOeX:ref

----- Original Message -----

From: PLOS Pub Ethics [pub-ethics@plos.org]

Sent: 27/01/2022 15:44

To: garfinkel.18@osu.edu

Cc: behnfeldt.10@osu.edu; carruthers.39@osu.edu

Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Hi Susan,

Thanks very much for your quick reply, and for confirming that you are happy for us to mention the university in the notices.

The authors will have an opportunity to discuss the concerns with us, and to comment on the notices before they are published. We often include information provided by the authors in notices, depending on the specific details of the case. If we mention Ohio State University in the notices for these two articles, we will also give you an opportunity to provide feedback on the text before publication.

Thank you again for your help with these articles. We will be in touch again when there is further information to share on the resolution of the cases. If you have any questions in the meantime, please feel free to get in touch.

Best wishes,
Clare

Clare Mc Fadden, PhD
Senior Editor, Publication Ethics | She/Her
pub-ethics@plos.org

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Case Number: 07390947
ref: _00DU0Ifis._5004P1iJOeX:ref

----- Original Message -----

From: Garfinkel, Susan J. [garfinkel.18@osu.edu]

Sent: 27/01/2022 13:41

To: pub-ethics@plos.org

Cc: carruthers.39@osu.edu; behnfeldt.10@osu.edu

Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Hi Clare,

Your email was forwarded to me for a response. We do consent to mentioning in the notice that Ohio State University is the source of the information you received regarding **case number 07390947**.

I am wondering, do you copy the authors on the proposed notice? The university usually includes the authors to ensure they know what is happening and can provide any further comments.

Thanks,

Susan



Susan Garfinkel, Ph.D. | Associate Vice President for Research Compliance

The Ohio State University | Office of Research Compliance | 1960 Kenny Road, Room 206, Columbus, OH 43210

(614) 292-7150 | garfinkel.18@osu.edu

From: PLOS Pub Ethics <pub-ethics@plos.org>

Sent: Wednesday, January 26, 2022 8:38 AM

To: Carruthers, Bridget <carruthers.39@osu.edu>

Subject: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Dear Dr. Carruthers,

I hope this email finds you well. I'm emailing from the PLOS Publication Ethics team to follow up on your previous email (see below) regarding the following two articles published in PLOS ONE:

1. Garofalo M, Jeon Y-J, Nuovo GJ, Middleton J, Secchiero P, Joshi P, et al. (2013) MiR-34a/c-Dependent PDGFR- α/β Downregulation Inhibits Tumorigenesis and Enhances TRAIL-Induced Apoptosis in Lung Cancer. PLoS ONE 8(6): e67581. <https://doi.org/10.1371/journal.pone.0067581>
2. Garofalo M, Quintavalle C, Zanca C, De Rienzo A, Romano G, Acunzo M, et al. (2008) Akt Regulates Drug-Induced Cell Death through Bcl-w Downregulation. PLoS ONE 3(12): e4070. <https://doi.org/10.1371/journal.pone.0004070>

Thank you informing us of the concerns that were confirmed in these articles by the Ohio State University. We are following up with this information in line with Council on Publication Ethics (COPE) guidelines.

At this stage, our assessment of both articles is ongoing and we are considering if it will be appropriate to publish notices to inform readers of the concerns raised in your previous email. Do you consent to us mentioning in the notices that Ohio State University is the source of the information you provided? We would be happy to share the text of the notices with you before they are published, and you will have an opportunity to suggest changes to the text at that time.

I would be grateful if you would respond to this query by Wednesday 2nd February. If you

have any questions or require more information, please don't hesitate to get in touch by replying to this email and quoting the case number 07390947.

I look forward to hearing from you soon.

All the best,
Clare Mc Fadden
Senior Editor, Publication Ethics | She/Her

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Carlyle House, Carlyle Road, Cambridge CB4 3DN, United Kingdom

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Case Number: 07390947
ref:_00DU0Ifis._5004P1iJOeX:ref

From: Carruthers, Bridget <carruthers.39@osu.edu>
Sent: 22 November 2021 17:29
To: Emily Chenette <echenette@plos.org>
Cc: gecondor@unina.it; michelagarofalo@unina.it; [REDACTED] Croce, Carlo M <carlo.croce@osumc.edu>
Subject: Request for correction

Dear Dr. Chenette,

The Ohio State University would like to request correction for the papers listed below. We are providing the full citations, the issues identified with the papers, and the forensic analysis for your review. We are providing this information to allow the journal to make an informed decision. Please contact me if you have any additional questions.

1. **Garofalo M, Jeon YJ, Nuovo GJ, Middleton J, Secchiero P, Joshi P, Alder H, Nazaryan N, Di Leva G, Romano G, Crawford M, Nana-Sinkam P, Croce CM. "MiR-34a/c-Dependent PDGFR- α/β Downregulation Inhibits Tumorigenesis and Enhances TRAIL-Induced Apoptosis in Lung Cancer." PLoS One. 2013 Jun 21; 8 (6): e67581.**

The Ohio State University is requesting correction of PLoS One 2013 Jun 21; 8 (6): e67581. Following a review of the paper, a university committee found that Dr. Garofalo included eleven (11) specific instances of plagiarized text from various sources in PLoS One 2013, Jun 21; 8 (6): e67581 without proper citation.

Dr. Garofalo corresponded with the journal and a correction was issued on June 25, 2015. However, the correction adequately addressed only six (6) of the eleven (11) instances of plagiarized text. The Committee reviewing this matter recommended that Dr. Garofalo find updated contact information and notify the journal of the additional five (5) instances of plagiarized text that do not include proper citations (see attached PowerPoint file – instances #1, #3, #4, #6, and #9).

Drs. Garofalo and Croce are copied on this request as they are co-corresponding authors on the paper.

Cancer Cell 2009/PLoS One 2008 – cross publication

1. **Garofalo M, Di Leva G, Romano G, Nuovo G, Suh SS, Ngrankeu A, Taccioli C, Pichiorri F, Alder H, Secchiero P, Gasparini P, Gonelli A, Costinean S, Acunzo M, Condorelli G, Croce CM. "miR-221&222 regulate TRAIL resistance and enhance tumorigenicity through PTEN and TIMP3 downregulation." Cancer Cell. 2009 Dec 8; 16 (6): 498-509.**
1. **Michela Garofalo, Cristina Quintavalle, Ciro Zanca, Assunta De Rienzo, Giulia Romano, Mario Acunzo, Loredana Puca, Mariarosaria Incoronato, Carlo M. Croce, Gerolama Condorelli. "Akt Regulates Drug-Induced Cell Death through Bcl-w Downregulation." PLoS ONE 2008, 3(12):e4070**

The Ohio State University is requesting correction of Cancer Cell. 2009 Dec 8; 16 (6):498-509 and/or PLoS ONE 2008, 3(12):e4070. Following a review of the papers, a university committee found a re-use of data in Figure 1B in PLoS ONE 2008, 3(12):e4070 as follows:

- a) Dr. Garofalo falsified Western blot images in Figure 1G in **Cancer Cell 2009** and/or Figure 1B in **PLoS ONE 2008**, 3(12):e4070, by differentially cropping the beta-actin panel in Figure 1G, **Cancer Cell 2009** and using the data for an unrelated experiment in Figure 1B in PLoS ONE 2008 for both beta-actin, lanes 1-2 and Akt, lanes 2-3 (see attached file for figure forensics)

Dr. Condorelli is copied on this request as the corresponding author on the PLOS One 2008 publication and Dr. Croce is copied as the senior author at Ohio State University.

Steve Mao, Editor in Chief, Cancer Cell, smao@cell.com, is also being notified of this cross-publication issue.



Bridget Carruthers, PhD, RBP

Associate Director
Research Integrity Officer
Office of Research Compliance
1960 Kenny Road, Room 224

Columbus, OH 43210
(614) 292-8178 Office
carruthers.39@osu.edu

Be safe today and remain a Buckeye tomorrow.

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From: [PLOS Pub Ethics](#)
To: [Garfinkel, Susan J.](#)
Subject: RE: PLOS post-publication case involving doi: 10.1371/journal.pone.0004070
Date: Friday, April 8, 2022 9:41:14 AM
Attachments: [image001.png](#)
[Draft5 RTN_pone.0004070_clean.docx](#)

This Message Is From an External Sender

This message came from outside your organization.

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Dear Susan,

I hope this email finds you well. I'm emailing to let you know that we are ready to proceed with a retraction for the 2008 PLOS ONE article (doi: 10.1371/journal.pone.0004070), and we consider the appeals process to be closed after final discussions.

Based on those discussions, we made some changes to the text of the notice, so I wanted to run it by you a final time to ensure you are happy the way the information provided by OSU is presented. Please see the notice attached, and please feel free to suggest edits using 'Track changes' or comments.

Just to let you know, we haven't yet discussed the case with the editor of Cancer Cell, but I'll inform him once our notice is published. Thank you again for meeting with me a few weeks ago to discuss this case. I hope we will soon be able to bring it to a conclusion.

Best wishes,
Clare

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Case Number: 03448655
ref:_00DU0Ifis._500U0Ctmwf:ref

----- Original Message -----

From: PLOS Pub Ethics [pub-ethics@plos.org]
Sent: 23/03/2022 14:54
To: garfinkel.18@osu.edu
Subject: RE: PLOS post-publication case involving doi: 10.1371/journal.pone.0004070

Hi Susan,

I'm sorry we missed each other! I stepped away for a late lunch so I just saw your email now. I presume it's too late to catch you so I'm happy to go with 1.30pm (UK) on Friday instead. I've scheduled a meeting (link below), but if you would prefer to use OSU's Zoom for any reason, please feel free to send a new link.

**

Clare Mc Fadden is inviting you to a scheduled Zoom meeting.

Join Zoom Meeting

<https://plos.zoom.us/j/██>

Meeting ID: ████████████████████

Passcode: ██████

**

Looking forward to talking to you then.

Best wishes,
Clare

----- Original Message -----

From: Garfinkel, Susan J. [garfinkel.18@osu.edu]

Sent: 23/03/2022 13:43

To: pub-ethics@plos.org

Subject: RE: PLOS post-publication case involving doi: 10.1371/journal.pone.0004070

Hi Clare,

I set up a Zoom call with you for now (9:30-10am my time) and waited on the call until I realized that I didn't invite you to the meeting! I'm definitely losing my mind! If you are free now here is the link

Susan Garfinkel is inviting you to a scheduled Zoom meeting.

Join Zoom Meeting

<https://osu.zoom.us/j/██>

Meeting ID: ████████████████████

Password: ██████

If not, I'll set it up Friday March 25 at 1:30 your time.

So sorry,

Susan

From: PLOS Pub Ethics <pub-ethics@plos.org>
Sent: Tuesday, March 22, 2022 7:23 AM
To: Garfinkel, Susan J. <garfinkel.18@osu.edu>
Subject: RE: PLOS post-publication case involving doi: 10.1371/journal.pone.0004070

Dear Susan,

Thanks for offering to have a Zoom call to discuss this. I'm free to meet Wed-Friday of this week, between 1-3.30pm UK time, which I believe is 9-11.30am for you. Please do feel free to set up a Zoom call, if you are available during those times.

If those times don't suit, I'd be happy to meet any day next week during the same time period, although the clocks change here this weekend so we'd need to keep that in mind when choosing a time.

Looking forward to talking to you.

Best wishes,
Clare

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----- Original Message -----

From: Garfinkel, Susan J. [garfinkel.18@osu.edu]
Sent: 21/03/2022 19:35
To: pub-ethics@plos.org
Subject: RE: PLOS post-publication case involving doi: 10.1371/journal.pone.0004070

Clare,

Please let me know a convenient time to set up a Zoom call.

Susan

From: PLOS Pub Ethics <pub-ethics@plos.org>
Sent: Monday, March 21, 2022 2:24 PM
To: Garfinkel, Susan J. <garfinkel.18@osu.edu>
Cc: Behnfeldt, Julia <behnfeldt.10@osu.edu>; Carruthers, Bridget <carruthers.39@osu.edu>
Subject: RE: PLOS post-publication case involving doi: 10.1371/journal.pone.0004070

Dear Susan,

Thank you so much for providing replies to Renee's queries and for your comment on the text of the notice. I greatly appreciate your continued assistance with this case.

Thank you for confirming that the investigation found that Dr. Garofalo was responsible for the inclusion of false data in Fig 1B. We discussed this retraction with Dr. Garofalo, and she disputed that she was responsible for the false data. She informed PLOS that she provided OSU with a letter from Prof. Condorelli stating that Dr. Garofalo did not participate in the preparation of any of the figures in this article (pone.0004070).

Could you let me know if you received such a letter from Prof. Conforelli or Dr. Garofalo? If so, is it possible for you to provide us with the letter? Please also let me know if this letter was taken into account during the investigation of this article. If it wasn't taken into account, please let us know why.

Any further information you can provide us regarding this letter would be a great help to us in finalising the text of the retraction notice.

Thank you again for your help with this. I look forward to hearing from you again soon.

Best wishes,
Clare

Clare Mc Fadden, PhD
Senior Editor, Publication Ethics | She/Her
pub-ethics@plos.org

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----- Original Message -----

From: Garfinkel, Susan J. [garfinkel.18@osu.edu]

Sent: 21/03/2022 14:26

To: pub-ethics@plos.org

Cc: behnfeldt.10@osu.edu; carruthers.39@osu.edu

Subject: RE: PLOS post-publication case involving doi: 10.1371/journal.pone.0004070

Hello Renee,

Thanks for the update about the paper. We note that the university will make a recommendation for correcting the research record, but recognize the decisions are made by the journals. Below are the responses to your questions. If you have any questions, please let me know and we can set up a call.

Susan

let us know (a) if we may have your permission to discuss OSU's investigation findings in the notice by way of explaining the reason(s) for the editorial decision – **yes**

and (b) if yes, would you like us to make any revisions to the text, particularly to statements that discuss OSU's investigation and its findings – **yes – see important comment in attached document**

Did your investigation specifically identify Dr. Garofalo as responsible for the data

falsification issues? **yes**

Were the other listed authors cleared of blame/responsibility for the noted issues? **the investigation found Dr. Garofalo was responsible for the inclusion of false data was and there was insufficient evidence to suggest that other co-authors were responsible for any research misconduct (which is slightly different than saying that the all other co-authors were cleared of any blame or responsibility).**

If responsibility was found to lie with Dr. Garofalo but not the other authors, are you comfortable with us noting this in the retraction notice? **yes**

From: PLOS Pub Ethics <pub-ethics@plos.org>

Sent: Friday, March 18, 2022 5:42 PM

To: Garfinkel, Susan J. <garfinkel.18@osu.edu>

Cc: Behnfeldt, Julia <behnfeldt.10@osu.edu>; Carruthers, Bridget <carruthers.39@osu.edu>

Subject: PLOS post-publication case involving doi: 10.1371/journal.pone.0004070

Dear Susan,

Thank you very much for your reply and for resending the prior messages and attachments. Clare is out of the office this week and so I am filling in for her temporarily.

For pone.0004070, we concluded internally that the data falsification issues noted in your correspondence warrant full retraction of the article - instead of a correction - per [COPE Retraction Guidelines](#) and the [COPE guidance on data fabrication cases](#). (We appreciate that fabrication and falsification are different types of data issue, but we consider that the same principles apply in editorial decision-making.) Dr. Garofalo has expressed that the authors disagree with the retraction. PLOS ONE is upholding the retraction decision and we are currently in the process of finalizing the retraction notice.

The current version of the notice is attached here. Can you please review the notice and let us know (a) if we may have your permission to discuss OSU's investigation findings in the notice by way of explaining the reason(s) for the editorial decision; and (b) if yes, would you like us to make any revisions to the text, particularly to statements that discuss OSU's investigation and its findings?

In addition, can you please clarify the following information regarding the individual-level responsibility for the issues noted in your emails and report?

- Did your investigation specifically identify Dr. Garofalo as responsible for the data falsification issues?
- Were the other listed authors cleared of blame/responsibility for the noted issues?

- If responsibility was found to lie with Dr. Garofalo but not the other authors, are you comfortable with us noting this in the retraction notice?

Thank you for all of your help, and many thanks to OSU for investigating the issues raised about the PLOS ONE articles. We truly appreciate your support and look forward to hearing from you soon. If possible, we would be grateful if you could please reply within the coming week, but please let us know if you will need additional time.

Best regards,
Renee

Renee Hoch, Ph.D.
Senior Editor, Team Manager Publication Ethics

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1265 Battery Street, Floor 2, San Francisco, CA 94111
rhoch@plos.org | pub-ethics@plos.org

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----- Original Message -----

From: Garfinkel, Susan J. [garfinkel.18@osu.edu]

Sent: 3/14/2022 6:25 AM

To: pub-ethics@plos.org

Cc: behnfeldt.10@osu.edu; carruthers.39@osu.edu

Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

[CAUTION: External
Email.]

Hello Clare,

I am attaching the original email that was sent to PLOS One, including information about the PLOS one 2008 paper (pone.0004070) and Cancer Cell 2009. The findings is included in the email and the forensics are attached. Is this sufficient?

Susan

From: PLOS Pub Ethics <pub-ethics@plos.org>
Sent: Friday, March 11, 2022 1:12 PM
To: Garfinkel, Susan J. <garfinkel.18@osu.edu>
Cc: Behnfeldt, Julia <behnfeldt.10@osu.edu>; Carruthers, Bridget <carruthers.39@osu.edu>
Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Dear Susan,

I hope you're well. I'm emailing to ask if there is any additional information from the IOSU investigation that you would be able to share with PLOS to assist in our assessment of the 2008 article (pone.0004070).

In particular, it would be helpful to us if you were able to share any more detail related to the 2008 article, including information about the conclusions that were made regarding this article, and if the investigation made any findings regarding personal responsibility for the issues raised.

Thank you again for your assistance with this matter.

Best wishes,
Clare

Clare Mc Fadden, PhD
Senior Editor, Publication Ethics | She/Her
pub-ethics@plos.org

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----- Original Message -----
From: PLOS Pub Ethics [pub-ethics@plos.org]
Sent: 25/02/2022 14:15
To: garfinkel.18@osu.edu

Cc: behnfeldt.10@osu.edu; carruthers.39@osu.edu

Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Dear Susan,

Thank for your reply, and for the suggested edit for the notice. I've now made this change, and I will keep the wording in mind when preparing the notice for the other article (pone.0004070).

Thank you for letting me know that you've been in touch with Steve Mao at Cancer Cell. I will get in touch with him directly regarding the resolution of our case.

Best wishes,
Clare

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California (U.S.) corporation #C2354500, based in San Francisco

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----- Original Message -----

From: Garfinkel, Susan J. [garfinkel.18@osu.edu]

Sent: 25/02/2022 13:53

To: pub-ethics@plos.org

Cc: behnfeldt.10@osu.edu; carruthers.39@osu.edu

Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Dear Clare,

Thank you for including us, I appreciate the opportunity to comment on the correction notice. I have only one edit since it is the university that makes the final determination in research misconduct cases, I suggest:

After publication of this article [1] and correction [2], ~~the Committee of the Office of Research Compliance of the~~ The Ohio State University informed *PLOS ONE* of the outcome

of an investigation into this article. This investigation concluded that the article contains additional instances of text overlap that were not acknowledged in the previous correction [2].

The 2nd paper PLOS 2008, 3(12):e4070 involves cross-publication between PLOS and Cancer Cell. I recently spoke with Steve Mao (smao@cell.com) and hope that you will be able to coordinate with him and the authors on a notice. Please let me know if you need any additional information.

Thanks,

Susan



Susan Garfinkel, Ph.D. | Associate Vice President for Research Compliance

The Ohio State University | Office of Research Compliance | 1960 Kenny Road, Room 206, Columbus, OH 43210

(614) 292-7150 | garfinkel.18@osu.edu

From: PLOS Pub Ethics <pub-ethics@plos.org>

Sent: Friday, February 25, 2022 7:59 AM

To: Garfinkel, Susan J. <garfinkel.18@osu.edu>

Cc: Behnfeldt, Julia <behnfeldt.10@osu.edu>; Carruthers, Bridget <carruthers.39@osu.edu>

Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Hi Susan,

I hope this email finds you well. I'm emailing to let you know that we are ready to proceed with an editorial decision on one of the two articles that we previously discussed:

1. Garofalo M, Jeon Y-J, Nuovo GJ, Middleton J, Secchiero P, Joshi P, et al. (2013) MiR-34a/c-Dependent PDGFR- α/β Downregulation Inhibits Tumorigenesis and Enhances TRAIL-Induced Apoptosis in Lung Cancer. PLoS ONE 8(6): e67581. <https://doi.org/10.1371/journal.pone.0067581>

We have determined that a Correction is required to inform readers of some of the instances of plagiarised text reported by OSU, and of additional instances of text recycling of the authors' own previous work. Please find attached the draft Correction notice, which mentions the investigation by OSU. Please do let me know if you have any comments on the text in relation to the information about OSU. I would be grateful if you would respond with any comments by **Wednesday 2nd March**.

The authors have been given an opportunity to comment on the issues raised in the notice, and Prof. Croce responded to let us know that he agreed with the corrections. We are currently awaiting comments from the other authors, but we will proceed with publication of the notice if we do not hear back from all.

In relation to the second article (pone.0004070), we plan to discuss this with the authors shortly, so I will pass on the draft notice to you once it is finalised.

Thank you again for your assistance with this case.

Best wishes,
Clare

Clare Mc Fadden, PhD
Senior Editor, Publication Ethics | She/Her
pub-ethics@plos.org

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----- Original Message -----

From: PLOS Pub Ethics [pub-ethics@plos.org]

Sent: 27/01/2022 15:44

To: garfinkel.18@osu.edu

Cc: behnfeldt.10@osu.edu; carruthers.39@osu.edu

Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Hi Susan,

Thanks very much for your quick reply, and for confirming that you are happy for us to mention the university in the notices.

The authors will have an opportunity to discuss the concerns with us, and to comment on the notices before they are published. We often include information provided by the authors in notices, depending on the specific details of the case. If we mention Ohio State University in the notices for these two articles, we will also give you an opportunity to provide feedback on

the text before publication.

Thank you again for your help with these articles. We will be in touch again when there is further information to share on the resolution of the cases. If you have any questions in the meantime, please feel free to get in touch.

Best wishes,
Clare

Clare Mc Fadden, PhD
Senior Editor, Publication Ethics | She/Her
pub-ethics@plos.org

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----- Original Message -----

From: Garfinkel, Susan J. [garfinkel.18@osu.edu]

Sent: 27/01/2022 13:41

To: pub-ethics@plos.org

Cc: carruthers.39@osu.edu; behnfeldt.10@osu.edu

Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Hi Clare,

Your email was forwarded to me for a response. We do consent to mentioning in the notice that Ohio State University is the source of the information you received regarding **case number 07390947**.

I am wondering, do you copy the authors on the proposed notice? The university usually includes the authors to ensure they know what is happening and can provide any further comments.

Thanks,

Susan



Susan Garfinkel, Ph.D. | Associate Vice President for Research Compliance

The Ohio State University | Office of Research Compliance | 1960 Kenny Road, Room 206, Columbus, OH 43210

(614) 292-7150 | garfinkel.18@osu.edu

From: PLOS Pub Ethics <pub-ethics@plos.org>

Sent: Wednesday, January 26, 2022 8:38 AM

To: Carruthers, Bridget <carruthers.39@osu.edu>

Subject: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Dear Dr. Carruthers,

I hope this email finds you well. I'm emailing from the PLOS Publication Ethics team to follow up on your previous email (see below) regarding the following two articles published in PLOS ONE:

1. Garofalo M, Jeon Y-J, Nuovo GJ, Middleton J, Secchiero P, Joshi P, et al. (2013) MiR-34a/c-Dependent PDGFR- α/β Downregulation Inhibits Tumorigenesis and Enhances TRAIL-Induced Apoptosis in Lung Cancer. PLoS ONE 8(6): e67581. <https://doi.org/10.1371/journal.pone.0067581>
2. Garofalo M, Quintavalle C, Zanca C, De Rienzo A, Romano G, Acunzo M, et al. (2008) Akt Regulates Drug-Induced Cell Death through Bcl-w Downregulation. PLoS ONE 3(12): e4070. <https://doi.org/10.1371/journal.pone.0004070>

Thank you informing us of the concerns that were confirmed in these articles by the Ohio State University. We are following up with this information in line with Council on Publication Ethics (COPE) guidelines.

At this stage, our assessment of both articles is ongoing and we are considering if it will be appropriate to publish notices to inform readers of the concerns raised in your previous email. Do you consent to us mentioning in the notices that Ohio State University is the source of the information you provided? We would be happy to share the text of the notices with you before they are published, and you will have an opportunity to suggest changes to the text at that time.

I would be grateful if you would respond to this query by Wednesday 2nd February. If you have any questions or require more information, please don't hesitate to get in touch by replying to this email and quoting the case number 07390947.

I look forward to hearing from you soon.

All the best,
Clare Mc Fadden
Senior Editor, Publication Ethics | She/Her

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Carlyle House, Carlyle Road, Cambridge CB4 3DN, United Kingdom

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From: Carruthers, Bridget <carruthers.39@osu.edu>
Sent: 22 November 2021 17:29
To: Emily Chenette <echenette@plos.org>
Cc: gecondor@unina.it; michelagarofalo@unina.it; [REDACTED] Croce, Carlo M <carlo.croce@osumc.edu>
Subject: Request for correction

Dear Dr. Chenette,

The Ohio State University would like to request correction for the papers listed below. We are providing the full citations, the issues identified with the papers, and the forensic analysis for your review. We are providing this information to allow the journal to make an informed decision. Please contact me if you have any additional questions.

1. **Garofalo M, Jeon YJ, Nuovo GJ, Middleton J, Secchiero P, Joshi P, Alder H, Nazaryan N, Di Leva G, Romano G, Crawford M, Nana-Sinkam P, Croce CM. "MiR-34a/c-Dependent PDGFR- α/β Downregulation Inhibits Tumorigenesis and Enhances TRAIL-Induced Apoptosis in Lung Cancer." PLoS One. 2013 Jun 21; 8 (6): e67581.**

The Ohio State University is requesting correction of PLoS One 2013 Jun 21; 8 (6): e67581. Following a review of the paper, a university committee found that Dr. Garofalo included eleven (11) specific instances of plagiarized text from various sources in PLoS One 2013, Jun 21; 8 (6): e67581 without proper citation.

Dr. Garofalo corresponded with the journal and a correction was issued on June 25, 2015. However, the correction adequately addressed only six (6) of the eleven (11) instances of plagiarized text. The Committee reviewing this matter recommended that Dr. Garofalo find updated contact information and notify the journal of the additional five (5) instances of plagiarized text that do not include proper citations (see attached PowerPoint file – instances #1, #3, #4, #6, and #9).

Drs. Garofalo and Croce are copied on this request as they are co-corresponding authors on the paper.

Cancer Cell 2009/PLoS One 2008 – cross publication

1. **Garofalo M, Di Leva G, Romano G, Nuovo G, Suh SS, Ngankeu A, Taccioli C, Pichiorri F, Alder H, Secchiero P, Gasparini P, Gonelli A, Costinean S, Acunzo M, Condorelli G, Croce CM. "miR-221&222 regulate TRAIL resistance and enhance tumorigenicity through PTEN and TIMP3 downregulation." Cancer Cell. 2009 Dec 8; 16 (6): 498-509.**
1. **Michela Garofalo, Cristina Quintavalle, Ciro Zanca, Assunta De Rienzo, Giulia Romano, Mario Acunzo, Loredana Puca, Mariarosaria Incoronato, Carlo M. Croce, Gerolama Condorelli. "Akt Regulates Drug-Induced Cell Death through Bcl-w Downregulation." PLoS ONE 2008, 3(12):e4070**

The Ohio State University is requesting correction of Cancer Cell. 2009 Dec 8; 16 (6):498-509 and/or PLoS ONE 2008, 3(12):e4070. Following a review of the papers, a university committee found a re-use of data in Figure 1B in PLoS ONE 2008, 3(12):e4070 as follows:

- a) Dr. Garofalo falsified Western blot images in Figure 1G in **Cancer Cell 2009** and/or Figure 1B in **PLoS ONE 2008**, 3(12):e4070, by differentially cropping the beta-actin panel in Figure 1G, **Cancer Cell 2009** and using the data for an unrelated experiment in Figure 1B in PLoS ONE 2008 for both beta-actin, lanes 1-2 and Akt, lanes 2-3 (see attached file for figure forensics)

Dr. Condorelli is copied on this request as the corresponding author on the PLOS One 2008 publication and Dr. Croce is copied as the senior author at Ohio State University.

Steve Mao, Editor in Chief, Cancer Cell, smao@cell.com, is also being notified of this cross-publication issue.



Bridget Carruthers, PhD, RBP

Associate Director

Research Integrity Officer

Office of Research Compliance

1960 Kenny Road, Room 224

Columbus, OH 43210

(614) 292-8178 Office

carruthers.39@osu.edu

Be safe today and remain a Buckeye tomorrow.



Retraction: Akt Regulates Drug-Induced Cell Death through Bcl-w Downregulation

The *PLOS ONE* Editors

Following the publication of this article [1] and Expression of Concern [2], The Ohio State University informed PLOS of the outcome of an investigation into a figure in this article.

The investigation by The Ohio State University concluded that western blot images were falsified in Fig 1B in this article [1] and/or Fig 1G in [3]. The investigation concluded:

- The β -actin panel in Fig 1B of this article [1] reports the same data as lanes 1 and 2 of the β -actin panel in Fig 1G of [3], despite representing different experimental conditions.
- Lanes 1, 2 of the Akt panel in Fig 1B of this article [1] report the same data as lanes 2, 3 of the β -actin panel in Fig 1G of [3], despite representing different experimental conditions.
- In Fig 1B of [1], lane 1 of the Akt panel presents the same band as lane 2 of the β -actin panel, with the aspect ratio changed.

Concerns with Fig 1B had previously been noted in the Expression of Concern [2] and an Editor's Comment posted on [1] by the *PLOS ONE* Editors on 7th Feb 2020. The corresponding author previously informed the journal that the original blots for Fig 1B were no longer available, and that the images in Fig 1B of [1] and Fig 1G of [3] were not the same.

The information provided by The Ohio State University supports concerns raised previously regarding the reliability and reuse of image data in Fig 1B. Therefore, in accordance with PLOS policy and COPE retraction guidelines, the *PLOS ONE* Editors retract this article.

In response to this retraction decision, the corresponding author and first author re-iterated that they do not have raw data underlying this figure, that institutional policy required data to be retained for only five years following publication, and that the investigation by The Ohio State University is being contested.

MG and GC did not agree with the retraction. All other authors either did not respond directly or could not be reached.

References

1. Garofalo M, Quintavalle C, Zanca C, De Rienzo A, Romano G, et al. (2008) Akt Regulates Drug-Induced Cell Death through Bcl-w Downregulation. *PLOS ONE* 3(12): e4070. <https://doi.org/10.1371/journal.pone.0004070>
2. The PLOS ONE Editors (2019) Expression of Concern: Akt Regulates Drug-Induced Cell Death through Bcl-w Downregulation. *PLOS ONE* 14(3): e0213701. <https://doi.org/10.1371/journal.pone.0213701>
3. Garofalo M, Di Leva G, Romano G, Nuovo G, Suh SS, Ngankeu A, Taccioli C, Pichiorri F, Alder H, Secchiero P, Gasparini P, Gonelli A, Costinean S, Acunzo M, Condorelli G, Croce CM. miR-221&222 regulate TRAIL resistance and enhance tumorigenicity through PTEN and TIMP3 downregulation. *Cancer Cell*. 2009 Dec 8;16(6):498-509. doi: 10.1016/j.ccr.2009.10.014.

From: [PLOS Pub Ethics](#)
To: [Garfinkel, Susan J.](#)
Subject: RE: PLOS post-publication case involving doi: 10.1371/journal.pone.0004070
Date: Friday, April 8, 2022 10:51:08 AM
Attachments: [image001.png](#)

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Hi Susan,

Thank you very much for pointing this out. We added this as it was implied in the original OSU report, and it was previously discussed when we were working on the EOC. However, I do see that it isn't a specific finding from your report, so I'm happy to remove it.

It won't affect our decision, and it is better for us to be completely accurate in our description of OSU's findings, so thank you again for spotting this.

I'll proceed with the next steps for publication, and will update you again when the notice is published.

Best wishes,
Clare

----- Original Message -----

From: Garfinkel, Susan J. [garfinkel.18@osu.edu]
Sent: 08/04/2022 15:34
To: pub-ethics@plos.org
Subject: RE: PLOS post-publication case involving doi: 10.1371/journal.pone.0004070

Hi Clare,

Thank you for sharing this with us. In an effort to be completely correct I might move or remove the third bullet or add in the text below. The 3rd point was included in the 2019 Expression of Concern (which I assume was from the authors coordinating with the editor??) but was not a specific finding from the OSU investigation

The investigation by The Ohio State University concluded that western blot images were falsified in Fig 1B in this article [1] and/or Fig 1G in [3]. The investigation **and a prior Expression of Concern (2)** concluded:

- The β -actin panel in Fig 1B of this article [1] reports the same data as lanes 1 and 2 of the β -actin panel in Fig 1G of [3], despite representing different experimental conditions.

- Lanes 1, 2 of the Akt panel in Fig 1B of this article [1] report the same data as lanes 2, 3 of the β -actin panel in Fig 1G of [3], despite representing different experimental conditions.
- In Fig 1B of [1], lane 1 of the Akt panel presents the same band as lane 2 of the β -actin panel, with the aspect ratio changed.

All else looks good!

Thanks again,

Susan

From: PLOS Pub Ethics <pub-ethics@plos.org>

Sent: Friday, April 8, 2022 9:40 AM

To: Garfinkel, Susan J. <garfinkel.18@osu.edu>

Subject: RE: PLOS post-publication case involving doi: 10.1371/journal.pone.0004070

Dear Susan,

I hope this email finds you well. I'm emailing to let you know that we are ready to proceed with a retraction for the 2008 PLOS ONE article (doi: 10.1371/journal.pone.0004070), and we consider the appeals process to be closed after final discussions.

Based on those discussions, we made some changes to the text of the notice, so I wanted to run it by you a final time to ensure you are happy the way the information provided by OSU is presented. Please see the notice attached, and please feel free to suggest edits using 'Track changes' or comments.

Just to let you know, we haven't yet discussed the case with the editor of Cancer Cell, but I'll inform him once our notice is published. Thank you again for meeting with me a few weeks ago to discuss this case. I hope we will soon be able to bring it to a conclusion.

Best wishes,
Clare

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Case Number: 03448655

ref:_00DU0Ifis._500U0Ctmwf:ref

----- Original Message -----

From: PLOS Pub Ethics [pub-ethics@plos.org]

Sent: 23/03/2022 14:54

To: garfinkel.18@osu.edu

Subject: RE: PLOS post-publication case involving doi: 10.1371/journal.pone.0004070

Hi Susan,

I'm sorry we missed each other! I stepped away for a late lunch so I just saw your email now. I presume it's too late to catch you so I'm happy to go with 1.30pm (UK) on Friday instead. I've scheduled a meeting (link below), but if you would prefer to use OSU's Zoom for any reason, please feel free to send a new link.

**

Clare Mc Fadden is inviting you to a scheduled Zoom meeting.

Join Zoom Meeting

<https://plos.zoom.us/j/>

Meeting ID: [REDACTED]

Passcode: [REDACTED]

**

Looking forward to talking to you then.

Best wishes,

Clare

----- Original Message -----

From: Garfinkel, Susan J. [garfinkel.18@osu.edu]

Sent: 23/03/2022 13:43

To: pub-ethics@plos.org

Subject: RE: PLOS post-publication case involving doi: 10.1371/journal.pone.0004070

Hi Clare,

I set up a Zoom call with you for now (9:30-10am my time) and waited on the call until I realized that I didn't invite you to the meeting! I'm definitely losing my mind! If you are free now here is the link

Susan Garfinkel is inviting you to a scheduled Zoom meeting.

Join Zoom Meeting

<https://osu.zoom.us/j/> [REDACTED]

Meeting ID: [REDACTED]

Password: [REDACTED]

If not, I'll set it up Friday March 25 at 1:30 your time.

So sorry,

Susan

From: PLOS Pub Ethics <pub-ethics@plos.org>

Sent: Tuesday, March 22, 2022 7:23 AM

To: Garfinkel, Susan J. <garfinkel.18@osu.edu>

Subject: RE: PLOS post-publication case involving doi: 10.1371/journal.pone.0004070

Dear Susan,

Thanks for offering to have a Zoom call to discuss this. I'm free to meet Wed-Friday of this week, between 1-3.30pm UK time, which I believe is 9-11.30am for you. Please do feel free to set up a Zoom call, if you are available during those times.

If those times don't suit, I'd be happy to meet any day next week during the same time period, although the clocks change here this weekend so we'd need to keep that in mind when choosing a time.

Looking forward to talking to you.

Best wishes,
Clare

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delete the message and notify the sender. Note that information and text in this correspondence should not be disclosed, copied, distributed, or used without explicit permission from PLOS.

----- Original Message -----

From: Garfinkel, Susan J. [garfinkel.18@osu.edu]

Sent: 21/03/2022 19:35

To: pub-ethics@plos.org

Subject: RE: PLOS post-publication case involving doi: 10.1371/journal.pone.0004070

Clare,

Please let me know a convenient time to set up a Zoom call.

Susan

From: PLOS Pub Ethics <pub-ethics@plos.org>

Sent: Monday, March 21, 2022 2:24 PM

To: Garfinkel, Susan J. <garfinkel.18@osu.edu>

Cc: Behnfeldt, Julia <behnfeldt.10@osu.edu>; Carruthers, Bridget <carruthers.39@osu.edu>

Subject: RE: PLOS post-publication case involving doi: 10.1371/journal.pone.0004070

Dear Susan,

Thank you so much for providing replies to Renee's queries and for your comment on the text of the notice. I greatly appreciate your continued assistance with this case.

Thank you for confirming that the investigation found that Dr. Garofalo was responsible for the inclusion of false data in Fig 1B. We discussed this retraction with Dr. Garofalo, and she disputed that she was responsible for the false data. She informed PLOS that she provided OSU with a letter from Prof. Condorelli stating that Dr. Garofalo did not participate in the preparation of any of the figures in this article (pone.0004070).

Could you let me know if you received such a letter from Prof. Conforelli or Dr. Garofalo? If so, is it possible for you to provide us with the letter? Please also let me know if this letter was

taken into account during the investigation of this article. If it wasn't taken into account, please let us know why.

Any further information you can provide us regarding this letter would be a great help to us in finalising the text of the retraction notice.

Thank you again for your help with this. I look forward to hearing from you again soon.

Best wishes,
Clare

Clare Mc Fadden, PhD
Senior Editor, Publication Ethics | She/Her
pub-ethics@plos.org

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----- Original Message -----

From: Garfinkel, Susan J. [garfinkel.18@osu.edu]

Sent: 21/03/2022 14:26

To: pub-ethics@plos.org

Cc: behnfeldt.10@osu.edu; carruthers.39@osu.edu

Subject: RE: PLOS post-publication case involving doi: 10.1371/journal.pone.0004070

Hello Renee,

Thanks for the update about the paper. We note that the university will make a recommendation for correcting the research record, but recognize the decisions are made by the journals. Below are the responses to your questions. If you have any questions, please let me know and we can set up a call.

Susan

let us know (a) if we may have your permission to discuss OSU's investigation findings in the notice by way of explaining the reason(s) for the editorial decision – **yes**

and (b) if yes, would you like us to make any revisions to the text, particularly to statements that discuss OSU's investigation and its findings – **yes – see important comment in attached document**

Did your investigation specifically identify Dr. Garofalo as responsible for the data falsification issues? **yes**

Were the other listed authors cleared of blame/responsibility for the noted issues? **the investigation found Dr. Garofalo was responsible for the inclusion of false data was and there was insufficient evidence to suggest that other co-authors were responsible for any research misconduct (which is slightly different than saying that the all other co-authors were cleared of any blame or responsibility).**

If responsibility was found to lie with Dr. Garofalo but not the other authors, are you comfortable with us noting this in the retraction notice? **yes**

From: PLOS Pub Ethics <pub-ethics@plos.org>

Sent: Friday, March 18, 2022 5:42 PM

To: Garfinkel, Susan J. <garfinkel.18@osu.edu>

Cc: Behnfeldt, Julia <behnfeldt.10@osu.edu>; Carruthers, Bridget <carruthers.39@osu.edu>

Subject: PLOS post-publication case involving doi: 10.1371/journal.pone.0004070

Dear Susan,

Thank you very much for your reply and for resending the prior messages and attachments. Clare is out of the office this week and so I am filling in for her temporarily.

For pone.0004070, we concluded internally that the data falsification issues noted in your correspondence warrant full retraction of the article - instead of a correction - per [COPE Retraction Guidelines](#) and the [COPE guidance on data fabrication cases](#). (We appreciate that fabrication and falsification are different types of data issue, but we consider that the same principles apply in editorial decision-making.) Dr. Garofalo has expressed that the authors

disagree with the retraction. PLOS ONE is upholding the retraction decision and we are currently in the process of finalizing the retraction notice.

The current version of the notice is attached here. Can you please review the notice and let us know (a) if we may have your permission to discuss OSU's investigation findings in the notice by way of explaining the reason(s) for the editorial decision; and (b) if yes, would you like us to make any revisions to the text, particularly to statements that discuss OSU's investigation and its findings?

In addition, can you please clarify the following information regarding the individual-level responsibility for the issues noted in your emails and report?

- Did your investigation specifically identify Dr. Garofalo as responsible for the data falsification issues?
- Were the other listed authors cleared of blame/responsibility for the noted issues?
- If responsibility was found to lie with Dr. Garofalo but not the other authors, are you comfortable with us noting this in the retraction notice?

Thank you for all of your help, and many thanks to OSU for investigating the issues raised about the PLOS ONE articles. We truly appreciate your support and look forward to hearing from you soon. If possible, we would be grateful if you could please reply within the coming week, but please let us know if you will need additional time.

Best regards,
Renee

Renee Hoch, Ph.D.
Senior Editor, Team Manager Publication Ethics

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rhoch@plos.org | pub-ethics@plos.org

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----- Original Message -----

From: Garfinkel, Susan J. [garfinkel.18@osu.edu]

Sent: 3/14/2022 6:25 AM

To: pub-ethics@plos.org

Cc: behnfeldt.10@osu.edu; carruthers.39@osu.edu

Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

[CAUTION: External
Email.]

Hello Clare,

I am attaching the original email that was sent to PLOS One, including information about the PLOS one 2008 paper (pone.0004070) and Cancer Cell 2009. The findings is included in the email and the forensics are attached. Is this sufficient?

Susan

From: PLOS Pub Ethics <pub-ethics@plos.org>
Sent: Friday, March 11, 2022 1:12 PM
To: Garfinkel, Susan J. <garfinkel.18@osu.edu>
Cc: Behnfeldt, Julia <behnfeldt.10@osu.edu>; Carruthers, Bridget <carruthers.39@osu.edu>
Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Dear Susan,

I hope you're well. I'm emailing to ask if there is any additional information from the IOSU investigation that you would be able to share with PLOS to assist in our assessment of the 2008 article (pone.0004070).

In particular, it would be helpful to us if you were able to share any more detail related to the 2008 article, including information about the conclusions that were made regarding this article, and if the investigation made any findings regarding personal responsibility for the issues raised.

Thank you again for your assistance with this matter.

Best wishes,
Clare

Clare Mc Fadden, PhD
Senior Editor, Publication Ethics | She/Her
pub-ethics@plos.org

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----- Original Message -----

From: PLOS Pub Ethics [pub-ethics@plos.org]

Sent: 25/02/2022 14:15

To: garfinkel.18@osu.edu

Cc: behnfeldt.10@osu.edu; carruthers.39@osu.edu

Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Dear Susan,

Thank for your reply, and for the suggested edit for the notice. I've now made this change, and I will keep the wording in mind when preparing the notice for the other article (pone.0004070).

Thank you for letting me know that you've been in touch with Steve Mao at Cancer Cell. I will get in touch with him directly regarding the resolution of our case.

Best wishes,
Clare

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California (U.S.) corporation #C2354500, based in San Francisco

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----- Original Message -----

From: Garfinkel, Susan J. [garfinkel.18@osu.edu]

Sent: 25/02/2022 13:53

To: pub-ethics@plos.org

Cc: behnfeldt.10@osu.edu; carruthers.39@osu.edu

Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles

(pone.0067581 and pone.0004070)

Dear Clare,

Thank you for including us, I appreciate the opportunity to comment on the correction notice. I have only one edit since it is the university that makes the final determination in research misconduct cases, I suggest:

After publication of this article [1] and correction [2], ~~the Committee of the Office of Research Compliance of the~~ The Ohio State University informed *PLOS ONE* of the outcome of an investigation into this article. This investigation concluded that the article contains additional instances of text overlap that were not acknowledged in the previous correction [2].

The 2nd paper PLOS 2008, 3(12):e4070 involves cross-publication between PLOS and Cancer Cell. I recently spoke with Steve Mao (smao@cell.com) and hope that you will be able to coordinate with him and the authors on a notice. Please let me know if you need any additional information.

Thanks,

Susan



Susan Garfinkel, Ph.D. | Associate Vice President for Research Compliance

The Ohio State University | Office of Research Compliance | 1960 Kenny Road, Room 206, Columbus, OH 43210

(614) 292-7150 | garfinkel.18@osu.edu

From: PLOS Pub Ethics <pub-ethics@plos.org>

Sent: Friday, February 25, 2022 7:59 AM

To: Garfinkel, Susan J. <garfinkel.18@osu.edu>

Cc: Behnfeldt, Julia <behnfeldt.10@osu.edu>; Carruthers, Bridget <carruthers.39@osu.edu>

Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Hi Susan,

I hope this email finds you well. I'm emailing to let you know that we are ready to proceed with an editorial decision on one of the two articles that we previously discussed:

1. Garofalo M, Jeon Y-J, Nuovo GJ, Middleton J, Secchiero P, Joshi P, et al. (2013) MiR-34a/c-Dependent PDGFR- α/β Downregulation Inhibits Tumorigenesis and Enhances TRAIL-Induced Apoptosis in Lung Cancer. PLoS ONE 8(6): e67581.
<https://doi.org/10.1371/journal.pone.0067581>

We have determined that a Correction is required to inform readers of some of the instances of plagiarised text reported by OSU, and of additional instances of text recycling of the authors' own previous work. Please find attached the draft Correction notice, which mentions the investigation by OSU. Please do let me know if you have any comments on the text in relation to the information about OSU. I would be grateful if you would respond with any comments by **Wednesday 2nd March**.

The authors have been given an opportunity to comment on the issues raised in the notice, and Prof. Croce responded to let us know that he agreed with the corrections. We are currently awaiting comments from the other authors, but we will proceed with publication of the notice if we do not hear back from all.

In relation to the second article (pone.0004070), we plan to discuss this with the authors shortly, so I will pass on the draft notice to you once it is finalised.

Thank you again for your assistance with this case.

Best wishes,
Clare

Clare Mc Fadden, PhD
Senior Editor, Publication Ethics | She/Her
pub-ethics@plos.org

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To: garfinkel.18@osu.edu
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Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Hi Susan,

Thanks very much for your quick reply, and for confirming that you are happy for us to mention the university in the notices.

The authors will have an opportunity to discuss the concerns with us, and to comment on the notices before they are published. We often include information provided by the authors in notices, depending on the specific details of the case. If we mention Ohio State University in the notices for these two articles, we will also give you an opportunity to provide feedback on the text before publication.

Thank you again for your help with these articles. We will be in touch again when there is further information to share on the resolution of the cases. If you have any questions in the meantime, please feel free to get in touch.

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Hi Clare,

Your email was forwarded to me for a response. We do consent to mentioning in the notice that Ohio State University is the source of the information you received regarding **case number 07390947**.

I am wondering, do you copy the authors on the proposed notice? The university usually includes the authors to ensure they know what is happening and can provide any further comments.

Thanks,

Susan



Susan Garfinkel, Ph.D. | Associate Vice President for Research Compliance

The Ohio State University | Office of Research Compliance | 1960 Kenny Road, Room 206, Columbus, OH 43210

(614) 292-7150 | garfinkel.18@osu.edu

From: PLOS Pub Ethics <pub-ethics@plos.org>

Sent: Wednesday, January 26, 2022 8:38 AM

To: Carruthers, Bridget <carruthers.39@osu.edu>

Subject: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Dear Dr. Carruthers,

I hope this email finds you well. I'm emailing from the PLOS Publication Ethics team to follow up on your previous email (see below) regarding the following two articles published in PLOS ONE:

1. Garofalo M, Jeon Y-J, Nuovo GJ, Middleton J, Secchiero P, Joshi P, et al. (2013) MiR-34a/c-Dependent PDGFR- α/β Downregulation Inhibits Tumorigenesis and Enhances TRAIL-Induced Apoptosis in Lung Cancer. PLoS ONE 8(6): e67581.
<https://doi.org/10.1371/journal.pone.0067581>
2. Garofalo M, Quintavalle C, Zanca C, De Rienzo A, Romano G, Acunzo M, et al. (2008)

Akt Regulates Drug-Induced Cell Death through Bcl-w Downregulation. PLoS ONE 3(12): e4070. <https://doi.org/10.1371/journal.pone.0004070>

Thank you informing us of the concerns that were confirmed in these articles by the Ohio State University. We are following up with this information in line with Council on Publication Ethics (COPE) guidelines.

At this stage, our assessment of both articles is ongoing and we are considering if it will be appropriate to publish notices to inform readers of the concerns raised in your previous email. Do you consent to us mentioning in the notices that Ohio State University is the source of the information you provided? We would be happy to share the text of the notices with you before they are published, and you will have an opportunity to suggest changes to the text at that time.

I would be grateful if you would respond to this query by Wednesday 2nd February. If you have any questions or require more information, please don't hesitate to get in touch by replying to this email and quoting the case number 07390947.

I look forward to hearing from you soon.

All the best,
Clare Mc Fadden
Senior Editor, Publication Ethics | She/Her

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From: Carruthers, Bridget <carruthers.39@osu.edu>
Sent: 22 November 2021 17:29
To: Emily Chenette <echenette@plos.org>
Cc: gecondor@unina.it; michelagarofalo [REDACTED] Croce, Carlo M <carlo.croce@osumc.edu>
Subject: Request for correction

Dear Dr. Chenette,

The Ohio State University would like to request correction for the papers listed below. We are providing the full citations, the issues identified with the papers, and the forensic analysis for your review. We are providing this information to allow the journal to make an informed decision. Please contact me if you have any additional questions.

1. **Garofalo M, Jeon YJ, Nuovo GJ, Middleton J, Secchiero P, Joshi P, Alder H, Nazaryan N, Di Leva G, Romano G, Crawford M, Nana-Sinkam P, Croce CM. "MiR-34a/c-Dependent PDGFR- α/β Downregulation Inhibits Tumorigenesis and Enhances TRAIL-Induced Apoptosis in Lung Cancer." PLoS One. 2013 Jun 21; 8 (6): e67581.**

The Ohio State University is requesting correction of PLoS One 2013 Jun 21; 8 (6): e67581. Following a review of the paper, a university committee found that Dr. Garofalo included eleven (11) specific instances of plagiarized text from various sources in PLoS One 2013, Jun 21; 8 (6): e67581 without proper citation.

Dr. Garofalo corresponded with the journal and a correction was issued on June 25, 2015. However, the correction adequately addressed only six (6) of the eleven (11) instances of plagiarized text. The Committee reviewing this matter recommended that Dr. Garofalo find updated contact information and notify the journal of the additional five (5) instances of plagiarized text that do not include proper citations (see attached PowerPoint file – instances #1, #3, #4, #6, and #9).

Drs. Garofalo and Croce are copied on this request as they are co-corresponding authors on the paper.

Cancer Cell 2009/PLoS One 2008 – cross publication

1. **Garofalo M, Di Leva G, Romano G, Nuovo G, Suh SS, Ngankeu A, Taccioli C, Pichiorri F, Alder H, Secchiero P, Gasparini P, Gonelli A, Costinean S, Acunzo M, Condorelli G, Croce CM. "miR-221&222 regulate TRAIL resistance and enhance tumorigenicity through PTEN and TIMP3 downregulation." Cancer Cell. 2009 Dec 8; 16 (6): 498-509.**
1. **Michela Garofalo, Cristina Quintavalle, Ciro Zanca, Assunta De Rienzo, Giulia Romano, Mario Acunzo, Loredana Puca, Mariarosaria Incoronato, Carlo M. Croce, Gerolama Condorelli. "Akt Regulates Drug-Induced Cell Death through Bcl-w Downregulation." PLoS ONE 2008, 3(12):e4070**

The Ohio State University is requesting correction of Cancer Cell. 2009 Dec 8; 16 (6):498-509 and/or PLoS ONE 2008, 3(12):e4070. Following a review of the papers, a university committee found a re-use of data in Figure 1B in PLoS ONE 2008, 3(12):e4070 as follows:

- a) Dr. Garofalo falsified Western blot images in Figure 1G in **Cancer Cell 2009** and/or Figure 1B in **PLoS ONE 2008**, 3(12):e4070, by differentially cropping the beta-actin panel in Figure 1G, **Cancer Cell 2009** and using the data for an unrelated experiment in Figure 1B in PLoS ONE 2008 for both beta-actin, lanes 1-2 and Akt, lanes 2-3 (see attached file for figure forensics)

Dr. Condorelli is copied on this request as the corresponding author on the PLOS One 2008 publication and Dr. Croce is copied as the senior author at Ohio State University.

Steve Mao, Editor in Chief, Cancer Cell, smao@cell.com, is also being notified of this cross-publication issue.



Bridget Carruthers, PhD, RBP

Associate Director

Research Integrity Officer

Office of Research Compliance

1960 Kenny Road, Room 224

Columbus, OH 43210

(614) 292-8178 Office

carruthers.39@osu.edu

Be safe today and remain a Buckeye tomorrow.



From: [Garfinkel, Susan J.](#)
To: [PLOS Pub Ethics](#)
Cc: [Behnfeldt, Julia](#); [Carruthers, Bridget](#)
Subject: RE: PLOS post-publication case involving doi: 10.1371/journal.pone.0004070
Date: Monday, March 21, 2022 10:26:00 AM
Attachments: [image001.png](#)
[Draft3 RTN_pone.0004070_rh_clean SG comment.docx](#)

Hello Renee,

Thanks for the update about the paper. We note that the university will make a recommendation for correcting the research record, but recognize the decisions are made by the journals. Below are the responses to your questions. If you have any questions, please let me know and we can set up a call.

Susan

let us know (a) if we may have your permission to discuss OSU's investigation findings in the notice by way of explaining the reason(s) for the editorial decision – **yes**

and (b) if yes, would you like us to make any revisions to the text, particularly to statements that discuss OSU's investigation and its findings – **yes – see important comment in attached document**

Did your investigation specifically identify Dr. Garofalo as responsible for the data falsification issues? **yes**

Were the other listed authors cleared of blame/responsibility for the noted issues? **the investigation found Dr. Garofalo was responsible for the inclusion of false data was and there was insufficient evidence to suggest that other co-authors were responsible for any research misconduct (which is slightly different than saying that the all other co-authors were cleared of any blame or responsibility).**

If responsibility was found to lie with Dr. Garofalo but not the other authors, are you comfortable with us noting this in the retraction notice? **yes**

From: PLOS Pub Ethics <pub-ethics@plos.org>
Sent: Friday, March 18, 2022 5:42 PM
To: Garfinkel, Susan J. <garfinkel.18@osu.edu>
Cc: Behnfeldt, Julia <behnfeldt.10@osu.edu>; Carruthers, Bridget <carruthers.39@osu.edu>
Subject: PLOS post-publication case involving doi: 10.1371/journal.pone.0004070

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Dear Susan,

Thank you very much for your reply and for resending the prior messages and attachments. Clare is out of the office this week and so I am filling in for her temporarily.

For pone.0004070, we concluded internally that the data falsification issues noted in your correspondence warrant full retraction of the article - instead of a correction - per [COPE Retraction Guidelines](#) and the [COPE guidance on data fabrication cases](#). (We appreciate that fabrication and falsification are different types of data issue, but we consider that the same principles apply in editorial decision-making.) Dr. Garofalo has expressed that the authors disagree with the retraction. PLOS ONE is upholding the retraction decision and we are currently in the process of finalizing the retraction notice.

The current version of the notice is attached here. Can you please review the notice and let us know (a) if we may have your permission to discuss OSU's investigation findings in the notice by way of explaining the reason(s) for the editorial decision; and (b) if yes, would you like us to make any revisions to the text, particularly to statements that discuss OSU's investigation and its findings?

In addition, can you please clarify the following information regarding the individual-level responsibility for the issues noted in your emails and report?

- Did your investigation specifically identify Dr. Garofalo as responsible for the data falsification issues?
- Were the other listed authors cleared of blame/responsibility for the noted issues?
- If responsibility was found to lie with Dr. Garofalo but not the other authors, are you comfortable with us noting this in the retraction notice?

Thank you for all of your help, and many thanks to OSU for investigating the issues raised about the PLOS ONE articles. We truly appreciate your support and look forward to hearing from you soon. If possible, we would be grateful if you could please reply within the coming week, but please let us know if you will need additional time.

Best regards,
Renee

Renee Hoch, Ph.D.
Senior Editor, Team Manager Publication Ethics

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1265 Battery Street, Floor 2, San Francisco, CA 94111
rhoch@plos.org | pub-ethics@plos.org

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Case Number: 07390947
ref:_00DU0Ifis._5004P1iJOeX:ref

----- Original Message -----

From: Garfinkel, Susan J. [garfinkel.18@osu.edu]

Sent: 3/14/2022 6:25 AM

To: pub-ethics@plos.org

Cc: behnfeldt.10@osu.edu; carruthers.39@osu.edu

Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

[CAUTION: External
Email.]

Hello Clare,

I am attaching the original email that was sent to PLOS One, including information about the PLOS one 2008 paper (pone.0004070) and Cancer Cell 2009. The findings is included in the email and the forensics are attached. Is this sufficient?

Susan

From: PLOS Pub Ethics <pub-ethics@plos.org>

Sent: Friday, March 11, 2022 1:12 PM

To: Garfinkel, Susan J. <garfinkel.18@osu.edu>

Cc: Behnfeldt, Julia <behnfeldt.10@osu.edu>; Carruthers, Bridget <carruthers.39@osu.edu>

Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Dear Susan,

I hope you're well. I'm emailing to ask if there is any additional information from the IOSU investigation that you would be able to share with PLOS to assist in our assessment of the 2008 article (pone.0004070).

In particular, it would be helpful to us if you were able to share any more detail related to the 2008 article, including information about the conclusions that were made regarding this article, and if the investigation made any findings regarding personal responsibility for the issues raised.

Thank you again for your assistance with this matter.

Best wishes,
Clare

Clare Mc Fadden, PhD
Senior Editor, Publication Ethics | She/Her
pub-ethics@plos.org

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ref:_00DU0Ifis._5004P1iJOeX:ref

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From: PLOS Pub Ethics [pub-ethics@plos.org]
Sent: 25/02/2022 14:15
To: garfinkel.18@osu.edu
Cc: behnfeldt.10@osu.edu; carruthers.39@osu.edu
Subject: RE: PLOS ONE: Enquiry regarding OSU recommendations for two articles (pone.0067581 and pone.0004070)

Dear Susan,

Thank for your reply, and for the suggested edit for the notice. I've now made this change, and I will keep the wording in mind when preparing the notice for the other article (pone.0004070).

Thank you for letting me know that you've been in touch with Steve Mao at Cancer Cell. I will get in touch with him directly regarding the resolution of our case.

Best wishes,
Clare

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THE OHIO STATE UNIVERSITY

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The Ohio State University | Office of Research Compliance | 1960 Kenny Road, Room 206, Columbus, OH 43210
(614) 292-7150 | garfinkel.18@osu.edu

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The authors have been given an opportunity to comment on the issues raised in the notice, and Prof. Croce responded to let us know that he agreed with the corrections. We are currently awaiting comments from the other authors, but we will proceed with publication of the notice if we do not hear back from all.

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Thank you informing us of the concerns that were confirmed in these articles by the Ohio State University. We are following up with this information in line with Council on Publication Ethics (COPE) guidelines.

At this stage, our assessment of both articles is ongoing and we are considering if it will be appropriate to publish notices to inform readers of the concerns raised in your previous email. Do you consent to us mentioning in the notices that Ohio State University is the source of the information you provided? We would be happy to share the text of the notices with you before they are published, and you will have an opportunity to suggest changes to the text at that time.

I would be grateful if you would respond to this query by Wednesday 2nd February. If you have any questions or require more information, please don't hesitate to get in touch by replying to this email and quoting the case number 07390947.

I look forward to hearing from you soon.

All the best,
Clare Mc Fadden
Senior Editor, Publication Ethics | She/Her

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Case Number: 07390947
ref:_00DU0Ifis._5004P1iJOeX:ref

From: Carruthers, Bridget <carruthers.39@osu.edu>
Sent: 22 November 2021 17:29
To: Emily Chenette <echenette@plos.org>
Cc: gecondor@unina.it; michelagarofalo@unina.it; [REDACTED] Croce, Carlo M <carlo.croce@osumc.edu>
Subject: Request for correction

Dear Dr. Chenette,

The Ohio State University would like to request correction for the papers listed below. We are providing the full citations, the issues identified with the papers, and the forensic analysis for your review. We are providing this information to allow the journal to make an informed decision. Please contact me if you have any additional questions.

1. **Garofalo M, Jeon YJ, Nuovo GJ, Middleton J, Secchiero P, Joshi P, Alder H, Nazaryan N, Di Leva G, Romano G, Crawford M, Nana-Sinkam P, Croce CM. "MiR-34a/c-Dependent PDGFR- α/β Downregulation Inhibits Tumorigenesis and Enhances TRAIL-Induced Apoptosis in Lung Cancer." PLoS One. 2013 Jun 21; 8 (6): e67581.**

The Ohio State University is requesting correction of PLoS One 2013 Jun 21; 8 (6): e67581. Following a review of the paper, a university committee found that Dr. Garofalo included eleven (11) specific instances of plagiarized text from various sources in PLoS One 2013, Jun 21; 8 (6): e67581 without proper citation.

Dr. Garofalo corresponded with the journal and a correction was issued on June 25, 2015. However, the correction adequately addressed only six (6) of the eleven (11) instances of plagiarized text. The Committee reviewing this matter recommended that Dr. Garofalo find updated contact information and notify the journal of the additional five (5) instances of plagiarized text that do not include proper citations (see attached PowerPoint file – instances #1, #3, #4, #6, and #9).

Drs. Garofalo and Croce are copied on this request as they are co-corresponding authors on the paper.

Cancer Cell 2009/PLoS One 2008 – **cross publication**

1. **Garofalo M, Di Leva G, Romano G, Nuovo G, Suh SS, Ngankeu A, Taccioli C, Pichiorri F, Alder H, Secchiero P, Gasparini P, Gonelli A, Costinean S, Acunzo M, Condorelli G, Croce CM. "miR-221&222 regulate TRAIL resistance and enhance tumorigenicity through PTEN and TIMP3 downregulation." Cancer Cell. 2009 Dec 8; 16 (6): 498-509.**
1. **Michela Garofalo, Cristina Quintavalle, Ciro Zanca, Assunta De Rienzo, Giulia Romano, Mario Acunzo, Loredana Puca , Mariarosaria Incoronato , Carlo M. Croce , Gerolama Condorelli. "Akt Regulates Drug-Induced Cell Death through Bcl-w Downregulation." PLoS ONE 2008, 3(12):e4070**

The Ohio State University is requesting correction of Cancer Cell. 2009 Dec 8; 16 (6):498-509 and/or PLoS ONE 2008, 3(12):e4070. Following a review of the papers, a university committee found a re-use of data in Figure 1B in PLoS ONE 2008, 3(12):e4070 as follows:

- a) Dr. Garofalo falsified Western blot images in Figure 1G in **Cancer Cell 2009** and/or Figure 1B in **PLoS ONE 2008**, 3(12):e4070, by differentially cropping the beta-actin panel in Figure 1G, **Cancer Cell 2009** and using the data for an unrelated experiment in Figure 1B in PLoS ONE 2008 for both beta-actin, lanes 1-2 and Akt, lanes 2-3 (see attached file for figure forensics)

Dr. Condorelli is copied on this request as the corresponding author on the PLOS One 2008 publication and Dr. Croce is copied as the senior author at Ohio State University.

Steve Mao, Editor in Chief, Cancer Cell, smao@cell.com, is also being notified of this cross-publication issue.



Bridget Carruthers, PhD, RBP

Associate Director

Research Integrity Officer

Office of Research Compliance

1960 Kenny Road, Room 224

Columbus, OH 43210

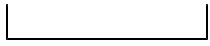
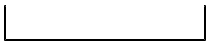
(614) 292-8178 Office

carruthers.39@osu.edu

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Retraction: Akt Regulates Drug-Induced Cell Death through Bcl-w Downregulation

The *PLOS ONE* Editors

Following the publication of this article [1] and Expression of Concern [2], The Ohio State University informed PLOS of the outcome of an investigation into a figure in this article.

The investigation by The Ohio State University concluded that western blot images were falsified by Dr. Garofalo in Fig 1B in this article [1] and/or Fig 1G in [3]. The investigation concluded:

- Data for an unrelated experiment were used in Fig 1B of [1] to represent both Akt (lanes 1, 2) and β -actin (lanes 2, 3) results.
- The β -actin panel in Fig 1B of this article [1] reports the same data as lanes 1 and 2 of the β -actin panel in Fig 1G of [3], despite representing different experimental conditions.
- Lanes 1, 2 of the Akt panel in Fig 1B of this article [1] report the same data as lanes 2, 3 of the β -actin panel in Fig 1G of [3], despite representing different experimental conditions.

Concerns with Fig 1B had previously been noted in the Expression of Concern [2] and an Editor's Comment posted on [1] by the *PLOS ONE* Editors on 7th Feb 2020. The corresponding author previously informed the journal that the original blots for Fig 1B were no longer available, and that the images in Fig 1B of [1] and Fig 1G of [3] were not the same.

The information provided by The Ohio State University verifies concerns raised previously regarding the reliability and reuse of image data in Fig 1B, and confirms concerns about the integrity of data reporting in this figure. Therefore, in accordance with PLOS policy and COPE retraction guidelines, the *PLOS ONE* Editors retract this article.

In response to this retraction decision, MG expressed that she disagrees with the retraction decision and did not participate in preparation of any figures for this article [1], and that an author has contested the Ohio State University investigation.

[Author initials] agreed with the retraction. [author initials] either did not respond directly or could not be reached. [author initials] did not agree with the retraction. [Author initials] apologize for the issues with the published article.

References

1. Garofalo M, Quintavalle C, Zanca C, De Rienzo A, Romano G, et al. (2008) Akt Regulates Drug-Induced Cell Death through Bcl-w Downregulation. *PLOS ONE* 3(12): e4070. <https://doi.org/10.1371/journal.pone.0004070>
2. The PLOS ONE Editors (2019) Expression of Concern: Akt Regulates Drug-Induced Cell Death through Bcl-w Downregulation. *PLOS ONE* 14(3): e0213701. <https://doi.org/10.1371/journal.pone.0213701>
3. Garofalo M, Di Leva G, Romano G, Nuovo G, Suh SS, Ngankea A, Taccioli C, Pichiorri F, Alder H, Secchiero P, Gasparini P, Gonelli A, Costinean S, Acunzo M, Condorelli G, Croce CM. miR-221&222 regulate TRAIL resistance and enhance tumorigenicity through PTEN and TIMP3 downregulation. *Cancer Cell*. 2009 Dec 8;16(6):498-509. doi: 10.1016/j.ccr.2009.10.014.