Responsible Conduct of Research

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Rm 3300.04
RCR - Responsible Conduct of Research

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With the assistance of Theatre students
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The National Science Foundation (NSF) and other federal funders require the universities they fund to provide training in research ethics.
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CUNY policy...

CUNY policy on training in responsible conduct of research

CUNY policy for disposition of allegations of research misconduct

Research Integrity Officers

http://www.cuny.edu/research/compliance/Responsible-Conduct-of-Research.html
RCR - Responsible Conduct of Research

Our topics:

- Research Misconduct
- Protections
- Conflicts of Interest
- Mentoring
- Authorship credit
- Peer Review
- Data Management
- Collaborative Research
- Export Controls
RCR - Responsible Conduct of Research
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e.g. Federal regs

Compliance

Requirement → Standard

Regulation

Rules → Guideline

Laws

Terms

Transparency
RCR - Responsible Conduct of Research

e.g. Federal regs

State regs

Requirement

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Terms
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e.g. Federal regs

State regs

Sponsor requirements

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Institutional policies

e.g. Federal regs

State regs

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Compliance

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Rules
RCR - Responsible Conduct of Research

Institutional policies
- e.g. Federal regs
- State regs
- Sponsor requirements

Reporting requirements

Requirement

Regulation

Standard

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Institutional policies

e.g. Federal regs

Reporting requirements

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Your research community

Laws

State regs

Sponsor requirements

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Institutional policies
- e.g. Federal regs

Reporting requirements

Your research community
- State regs

Read guidelines
- Be aware of expectations

Compliance
- Requirement
- Regulation
- Standard
- Laws
- Terms
- Guidelines
- Transparency
- Sponsor requirements
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- Reporting requirements
- Institutional policies
- Your research community
- State regs
- e.g. Federal regs
- Sponsor requirements
- Read guidelines
- Be aware of expectations
- Full communication
- Transparency in interactions

Compliance
- Requirement
- Regulation
- Standard
- Rules
- Laws
- Guideline
- Terms
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Research Misconduct - 1

Fabrication
Making up data or results, and recording or reporting them

Falsification
Manipulating research materials, equipment or processes, or changing or omitting data or results, such that the research is not accurately represented in the research record

Plagiarism
Appropriation of another person’s ideas, processes, results or words without giving appropriate credit
A finding of research misconduct requires that:

• There be a significant departure from accepted practices of the relevant research community (i.e. the humanities, social sciences, or scientific research community);

• the misconduct be committed intentionally, or knowingly, or recklessly; and

• the allegation be proven by a preponderance of evidence.
Some temptations to commit misconduct

• Publish or perish pressures
• Need to obtain research funding
• Seeking promotion
• Reputational motivations
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It's not worth it!
The federal Office of Research Integrity (ORI) may impose a variety of penalties when a finding of research misconduct is upheld. These penalties may include:

• Correction of the research record.
• Letters of reprimand.
• Suspension or termination of a research grant.
• Suspension or debarment from receiving federal funds.

Researchers who commit research misconduct may face significant professional stigma as well as corrective actions from employers.
Making an Error

A role-play
Protections: Animal Welfare

Humane treatment of animals used in research and educational activities

- Institutional Animal Care and Use Committees (IACUC)
- Veterinarians, animal facilities staff, & IACUC administrators
Protections: Biosafety

Environmental Health, Safety & Risk Management

- Policies and procedures regarding laboratory safety, hazardous materials, health safety & radiation safety
  
  [link](http://www.cuny.edu/about/administration/offices/ehsr.html)

College specific Institutional Biosafety Committees (IBC)

- Recombinant DNA & gene therapy research
- Risk group 2 or higher infectious agent use
- Use of transgenic animals
Protections: Human Subjects – 1

HRPP = Human Research Protection Program

IRB = Institutional Review Board

Review of your protocol is required when:

- Activity involves research (systematic investigation for generalizable knowledge); and
- Activity involves human subjects (living individual about whom data is collected through intervention or interaction; or private identifiable information is collected); and
- CUNY is engaged
Protections: Human Subjects - 2

CUNY Human Research Protection Program (HRPP)

- HRPP Coordinators / IRB Administrators (Research Compliance Administrators) on each campus.

- University Integrated (UI) Institutional Review Boards (IRB)

- [http://www.cuny.edu/research/compliance/human-subjects-research-1.html](http://www.cuny.edu/research/compliance/human-subjects-research-1.html)
Sensitive Data Collection
A role-play
Conflicts of Interest

Financial Conflict of Interest

- CUNY policy, procedures and disclosure forms at http://www.cuny.edu/research/compliance/conflictofinterestpolicy.html

Conflict of Commitment

- Relationships with individuals or entities
- Use of resources / funds
- Honor time commitments made

College Conflicts Officers
CUNY Conflicts Committee
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Mentor / Trainee Responsibilities

• Proactively set expectations
• Clarify evaluation criteria
• Clear distribution of responsibilities
• Standard operating procedures
• Criteria for establishing authorship & ownership
• Awareness of and compliance with institutional requirements
Competing Interests

A role-play
Responsible Authorship

Who should be an author?

• Made significant contributions to the research
• Assumed responsibility for data collection & analysis
• Participated in drafting the publication
• Approved the final publication

Improper practice

• Honorary authorship
• Duplicate publication
Peer Review

Responsibility

- Assess project for quality
- Make judgment regarding importance of research

Responsible Conduct

- Timely review
- Constructive feedback
- Free from personal bias
- Maintain confidentiality
Authorship
A role-play
Data Management

Data Ownership

- Funding source – grants vs. contracts
- Institutional policy
- CUNY Intellectual Property Policy: http://www.cuny.edu/about/administration/offices/la/intellectual_property_9.20.11.pdf

Data Source

Data Collection

- Data recorded such that it can be validated
- Appropriate authorization
Data Protection

• Proper storage to avoid accidental damage, loss or theft
• Confidentiality & privacy agreements honored
• Data retention according to contract &/or institutional practice

• CUNY use of computer resources policy:
  http://www.cuny.edu/about/administration/offices/CIS/policies/ComputerUsePolicy.pdf

Data Sharing

• We may enter into various types of data sharing agreements (data use, data transfer, etc.)
  http://www.cuny.edu/research/compliance/Research-Agreements.html
Collaborative research
Roles & Relationships

• Define each collaborator’s role in the project in a written agreement
• Ensure common understanding of the research goals
• Be familiar with each institution’s intellectual property & ownership policies

Management Plan

• Financial Management
• Training & Supervision
• Compliance
Collaborative Research

Formal Agreements

- Contact research compliance staff prior to signing these
- Ensure that your collaboration is documented in a formal Agreement
- Examples include: Memorandum of Understanding; Memorandum of Agreement; Material Transfer Agreement; Data Transfer Agreement
- Signatory authority defined by policy: [http://www.cuny.edu//research/research-policies/Signatory-Authority.html](http://www.cuny.edu//research/research-policies/Signatory-Authority.html)
Export Control – 1

Controls

State, Commerce & Treasury Controls

- Hardware, software, materials, equipment, technology & technological data that have *civilian and inherent military or defense application*

- Defense *articles* designed or modified for defense or military application without civil equivalent *and defense services*.

- Restricted *transactions*; for example, those with Cuba, Iran, Syria or Sudan
Export Control — 2
CUNY policy, procedures, guidance & forms

http://www.cuny.edu/research/compliance/Export-Control.html

Export Control Administrators

Requirements

• Prior authorization or license may be required
• Screening of all parties involved
• Exceptions for fundamental research activities
Review:

• Research Misconduct
• Protections
• Conflicts of Interest
• Mentoring
• Authorship credit
• Peer Review
• Data Management
• Collaborative Research
• Export Controls
Useful video for review of research misconduct:

Research Integrity
Produced by the University of Amsterdam, 2016
https://www.youtube.com/watch?v=x_MsPvgetxw
Title IX

Edith Rivera
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