RCR - Responsible Conduct of Research

Responsible Conduct of Research
RCR

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Rm 3300.04

RCR - **Responsible Conduct of Research**

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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
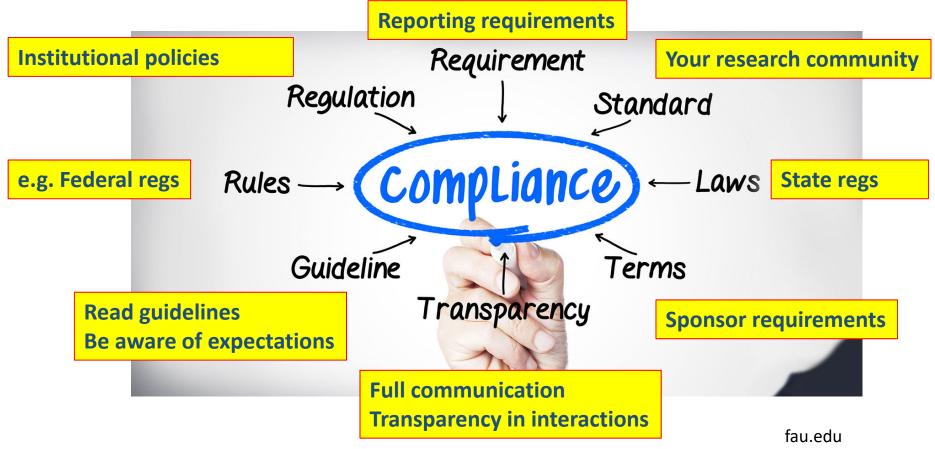- Data Management
- Collaborative Research
- Export Controls

RCR - **Responsible Conduct of Research**

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e.g. Federal regs

fau.edu

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RCR - **Responsible Conduct of Research**

e.g. Federal regs

State regs

Sponsor requirements

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RCR - Responsible Conduct of Research

Institutional policies

e.g. Federal regs

State regs

Sponsor requirements

Requirement
Regulation
Standard
Rules → Compliance ← Laws
Guideline
Transparency
Terms

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Reporting requirements

Institutional policies

e.g. Federal regs

State regs

Sponsor requirements

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Reporting requirements

Institutional policies

Your research community

Requirement

Regulation   Standard

e.g. Federal regs   Rules → Compliance ← Laws   **State regs**

Guideline   Terms

Transparency

Sponsor requirements

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Your research community

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e.g. Federal regs

Rules → **Compliance** ← Laws

State regs

Guideline

Terms

Transparency

**Read guidelines
Be aware of expectations**

Sponsor requirements

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Your research community

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e.g. Federal regs

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Guideline

Terms

**Read guidelines
Be aware of expectations**

Transparency

Sponsor requirements

**Full communication
Transparency in interactions**

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Researchers and research institutions must conduct research in a way that is honest, trustworthy, reliable and accountable. That's ideal.

Misconduct is the worst possible behavior by a researcher.

Behavior that falls in between is referred to as *questionable research practices* (QRP)

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p-hacking (re-analyzing data in different ways to yield a target result)

Unethical authorship

Unethical publication practices   **BAD**

Noncompliance with university policies

Violating privacy and/or confidentiality rules and/or agreements

Non-compliance with sponsor-related requirements

Excluding data

Unethical peer review

Misappropriation of research funds

Delaying or impeding work of collaborators

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Non-compliance with human subjects and/or animal requirements

Citing selectively or expanding bibliography unnecessarily

Misusing authority   **BAD**

Inadequate record keeping

Selective transparency of hypotheses

Conflicts of interest mismanagement (financial and/or commitment)

HARKing (hypothesis after results are known)

Non-compliance with reporting/or registry requirements

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Ideal Behavior   GOOD

- sound research design and methodology

- reproducibility

- conscientious data management

- appropriate authorship

- appropriate mentorship

- appropriate use of funds

- disclosing conflicts of interest

- managing conflicts of commitment

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Ideal Behavior   GOOD

RCR also requires that researchers behave in an ethical manner, i.e. use sound ethical judgement that promotes trust, and that research is conducted with integrity, i.e. consistently doing the right thing.

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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

Research Misconduct - 2

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.

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Some temptations to commit misconduct

- Publish or perish pressures

- Need to obtain research funding

- Seeking promotion

- Reputational motivations

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Its not worth it!

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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.

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Making an Error
A role-play

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Self-Plagiarism
A role-play

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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

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Protections: Biosafety

Environmental Health, Safety & Risk Management

- Policies and procedures regarding laboratory safety, hazardous materials, health safety & radiation safety

  http://www.cuny.edu/about/administration/offices/ehsrm.html

College specific Institutional Biosafety Committees (IBC)

- Recombinant DNA & gene therapy research

- Risk group 2 or higher infectious agent use

- Use of transgenic animals

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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

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Protections: Human Subjects - 2

CUNY Human Research Protection Program (HRPP)

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

Rebecca Banchik, GC Dir, HRPP

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

- http://www.cuny.edu/research/compliance/human-subjects-research-1.html

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Sensitive Data Collection

A role-play

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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

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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

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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

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Authorship

A role-play

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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

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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

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Collaborative research - 1

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 - 2

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

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

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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

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https://www.youtube.com/watch?v=x_MsPvgetxw

Research Integrity

Video

Produced by the University of Amsterdam, 2016

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