

# **RCR - Responsible Conduct of Research**

## **Responsible Conduct of Research**

# **RCR**

**Adrienne Klein**  
**Research Integrity Officer**  
**Office of Research and Sponsored Programs**  
**Rm 3300.04**

# **RCR - Responsible Conduct of Research**

Presenters:

**Adrienne Klein**, RIO, Graduate Center

**Edith Rivera**, Chief Diversity Officer, Graduate Center

Commentators:

**Farida Lada**, Associate University Provost for Research  
Administration & Compliance

**Arita Winter-Potter**, Research Compliance Manager

**Bertram Ploog**, Prof. of Psychology, RIO, College of Staten Island

With the assistance of Theatre students

**Ryan McKinney**

**Joanna Gurin**

## **RCR - Responsible Conduct of Research**

**The National Science Foundation (NSF) and other federal funders require the universities they fund to provide training in research ethics.**

# **RCR - Responsible Conduct of Research**

## **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



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State regs



# RCR - Responsible Conduct of Research



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Institutional policies

e.g. Federal regs



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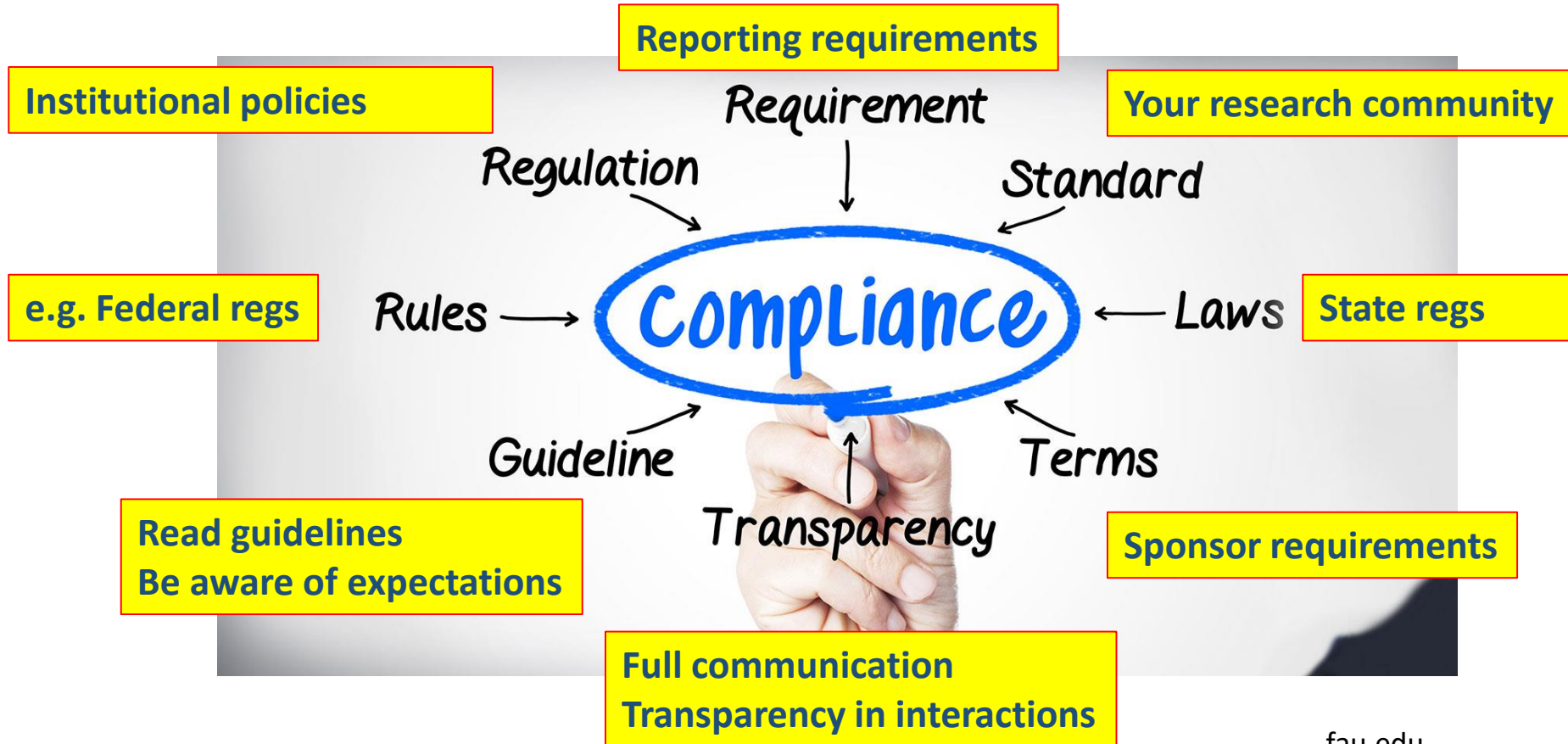
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# **RCR - Responsible Conduct of Research**

## **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

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### 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!**

## **RCR - Responsible Conduct of Research**

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/ehsrn.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.
- 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/conflictinterestpolicy.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

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## 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](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**

### **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

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## 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>

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## 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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## **Review:**

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## RCR - Responsible Conduct of Research

Useful video for review of research misconduct:

*Research Integrity*

Produced by the University of Amsterdam, 2016

[https://www.youtube.com/watch?v=x\\_MsPvgetxw](https://www.youtube.com/watch?v=x_MsPvgetxw)



## **Title IX**

**Edith Rivera**

Chief Diversity Officer

Graduate Center

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