Responsible Conduct of Research Overview

UNIVERSITY OF CALGARY

Research Services. Responsible Conduct of Research

http://www.ucalgary.ca/research/compliance/responsible_conduct

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Accessible online, the CORE Tutorial is a straightforward, concise and efficient eight (8) module course. Faculty and students need only register and proceed to the tutorial. Once the tutorial is complete a certificate is issued. When you register, please use your institution email address (name@ucalgary.ca).

5. Financial Conflict of Interest: An Overview

The University of Calgary has updated the procedures specific to financial disclosure as it relates to the existing conflict of interest policy ensuring the institution is aligned with the National Institute of Health (NIH). These changes are effective immediately and require investigators with NIH funding to routinely disclose financial interests which may have an impact on all institutional responsibilities, including research, teaching, professional practice, institutional committee memberships, service on panels and consulting activities.

For more information on Investigating a Breach of Research Integrity at the University of Calgary

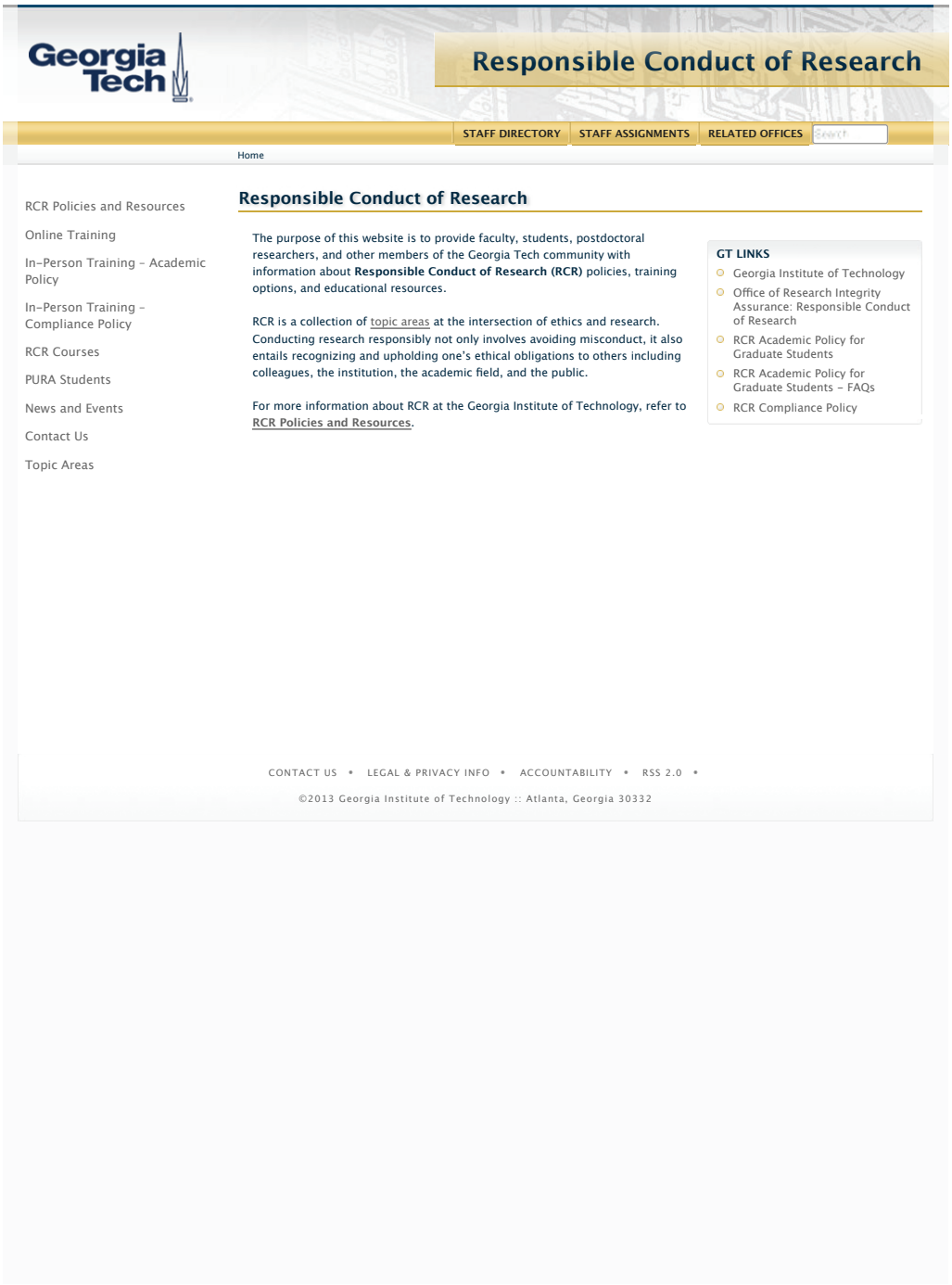
Contact:

Shirley Voyna Wilson, Protected Disclosure Coordinator
Telephone: 403 220-4086 E-mail: wsvoyna@ucalgary.ca

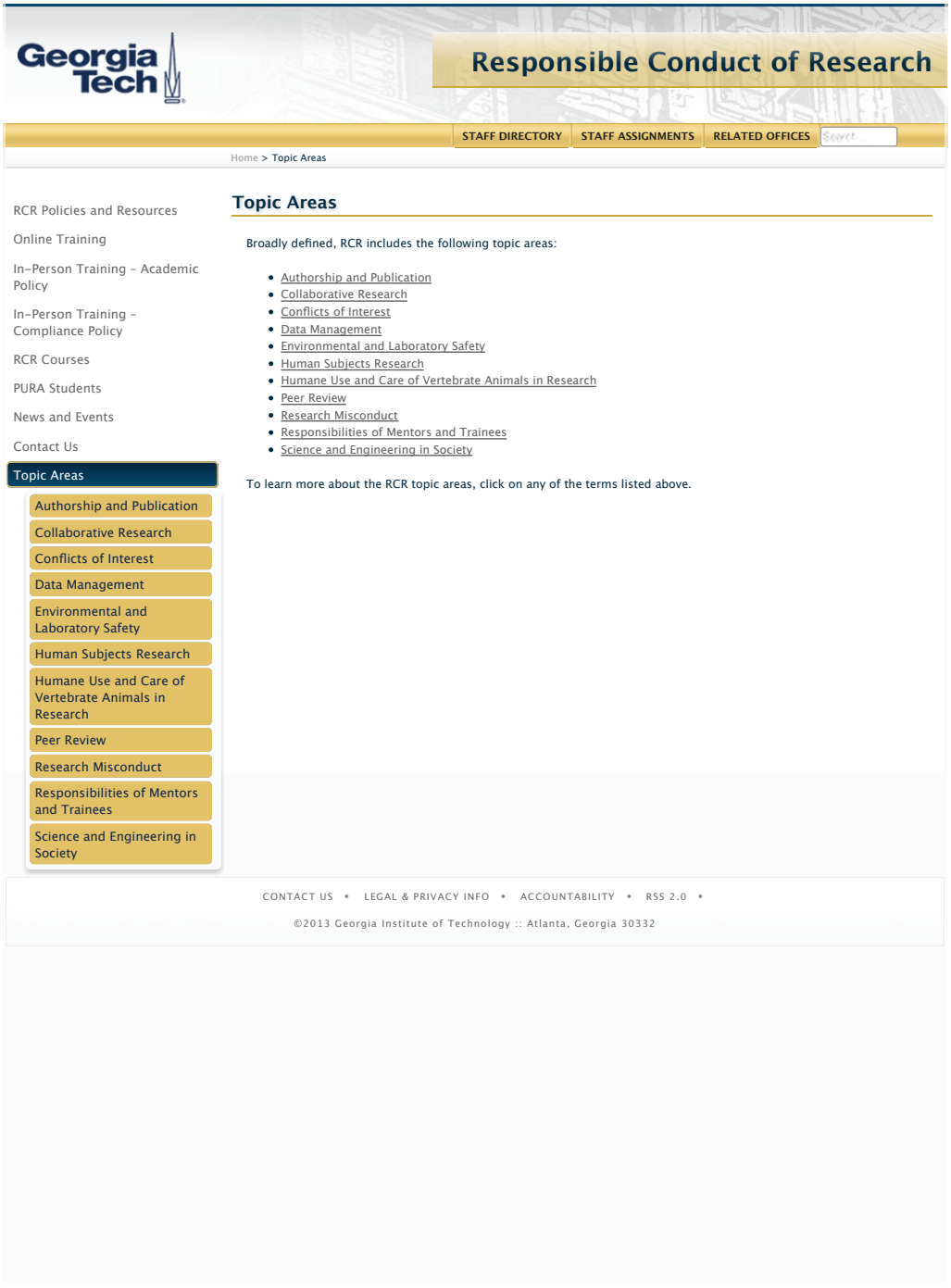
For questions about the Responsible Conduct of Research Framework
Mariska Span-Smeelen, Contracts & Compliance Officer
Telephone: 403 210-7841 E-mail: mspansme@ucalgary.ca

UNIVERSITY OF FLORIDA
Responsible Conduct of STEM Research
http://guides.uflib.ufl.edu/stemrcr

GEORGIA INSTITUTE OF TECHNOLOGY
Responsible Conduct of Research
http://www.rcr.gatech.edu/



GEORGIA INSTITUTE OF TECHNOLOGY
Responsible Conduct of Research. Topic Areas
http://www.rcr.gatech.edu/topics/



UNIVERSITY OF PENNSYLVANIA

Office of the Vice Provost for Research. Responsible Conduct of Research

http://www.upenn.edu/research/compliance_training/responsible_conduct_of_research/

Office of the Vice Provost for Research

Penn

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Search

- Conflicts of Interest in Research Program
- Research Integrity
- Responsible Conduct of Research
- Collaborative Institutional Training Initiative
- Other Research Related Training
- Related Policies

Dawn Bonnell Appointed Vice Provost for Research
Effective July 1, 2013

Postdoctoral Fellowships for Academic Diversity
Application deadline: August 30, 2013

New Research-Related Conflict of Interest Policy, effective August 24, 2012

Financial Interest Disclosure Electronic System (FIDES)

New PHS Financial Interest and Travel Statement (PHS-FITS)

Receive highly customized email alerts regarding funding opportunities

Research at Penn
ADVANCES IN KNOWLEDGE

Research Portal
SERVICES FOR RESEARCHERS

Highlights
DATA AND FIGURES

Responsible Conduct of Research

INSTRUCTIONAL COMPONENTS OF AN RCR TRAINING PROGRAM

RESEARCH MISCONDUCT	DATA ACQUISITION, SHARING, AND OWNERSHIP
PROTECTION OF HUMAN SUBJECTS	PEER REVIEW
ANIMAL WELFARE	COLLABORATIVE RESEARCH
CONTEMPORARY ETHICAL ISSUES IN SCIENCE	PUBLICATIONS PRACTICE AND RESPONSIBLE AUTHORSHIP
MENTOR AND TRAINEE RELATIONSHIPS	CONFLICTS OF INTEREST AND COMMITMENT

Penn is committed to upholding the highest ethical and professional standards in research endeavors and ensures investigators are educated in "best practices." The Senior Vice Provost for Research encourages all Penn constituents to take advantage of the University's RCR training opportunities. ***See, Research Related Training.***

RCR training is mandated for undergraduates, graduate students and postdoctoral fellows and faculty funded by National Institutes of Health (NIH RCR Notice) training grants and career awards. RCR training is also required for undergraduates, graduate students, and postdoctoral fellows funded by the National Science Foundation (NSF RCR Notice).

Depending on your school affiliation, career stage and type of funding, you may be required to complete an on-line RCR course offered by Collaborative Institutional Training Initiative (CITI), as well as participate in other program-specific types of training. You should always consult your mentor for specific training requirements.

For additional guidance:

Biomedical Graduate Students (BGS) - Contact Colleen Dunn, Curriculum Coordinator at dunncoll@mail.med.upenn.edu

Biomedical Postdoctoral Program Affiliates (BPP) and Faculty on K Awards not affiliated with BPP - Contact Mary Anne Timmins, Administrative Director at timmins@mail.med.upenn.edu. You may also visit the BPP website.

SEAS Graduate Students - Contact Sonya Gwak, Associate Director for Student Affairs and Graduate Admissions at sgwak@seas.upenn.edu

SAS Graduate Students - Contact Kathleen M. Clawson, Coordinator of Faculty Affairs at kclawson@sas.upenn.edu

Penn

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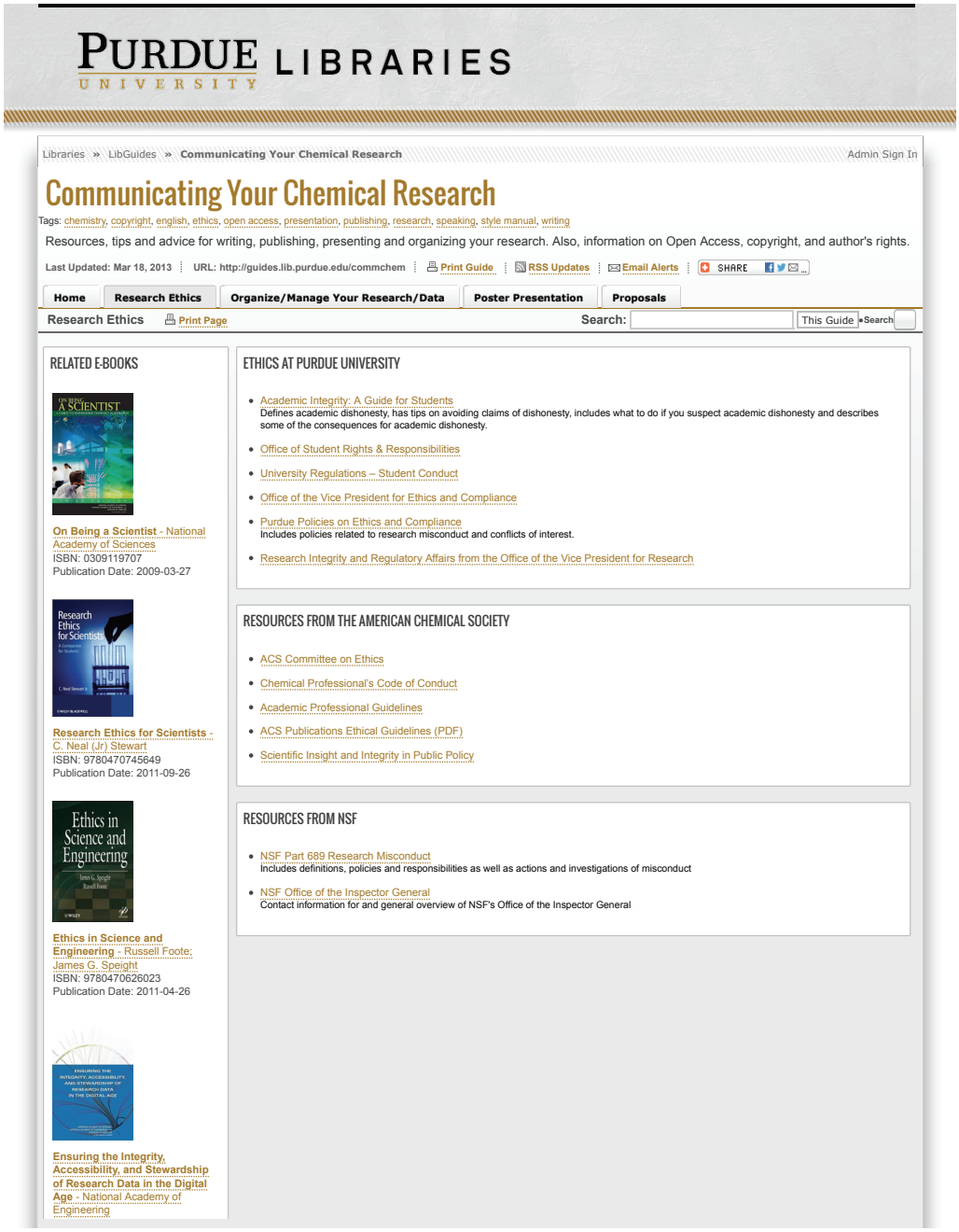
PURDUE UNIVERSITY

Communicating Your Chemical Research. Research Ethics

http://guides.lib.purdue.edu/content.php?pid=262944&sid=2264690



Compliance and Training

Summary and Quick links

Compliance

Research involving human subjects, animals, recombinant DNA/pathogens, biohazardous materials
Responsible conduct of research
Reporting misconduct
Conflict of interest and commitment
Current SOM requirements for the disclosure of external financial interests
Confidentiality
Clinical study-specific documentation
Faculty consulting agreements - criteria for School of Medicine review
Publication of clinical trials to web sites
Record retention and disposition
Terms and conditions of your award
Federal acts, circulars, and regulations pertaining to grants and contracts
NIH public access policy: School of Medicine site/Health Sciences Library site

Training

Office of Environmental Health and Safety: EHS home page / EHS training programs
Institutional Biosafety Committee
Animal Care and Use Committee
Institutional Review Boards
Other required training
SOM overview of safety issues associated with research areas (a "best practices" document)

Compliance

Human subjects research. The University has two Institutional Review Boards (IRBs). The IRB for the Social and Behavioral Sciences (IRB-SBS) reviews and oversees non-medical, behavioral research studies. The IRB for Health Sciences Research (IRB-HSR) oversees all other studies involving human subjects, representing the majority of human use protocols performed by the School of Medicine. Investigators who are new to clinical research or who wish to perform unfamiliar studies should contact the IRB-HSR prior to submitting a protocol. The Clinical Trials Office can facilitate the conduct of clinical studies by assisting with budget and proposal preparation, study coordination and management, and regulatory functions such as quality assurance/quality control.

Animals in research. The Institutional Animal Care and Use Committee (IACUC) reviews and oversees the use of animals in research and teaching at the University. The IACUC provides training in handling research animals, insures that individuals using research animals participate in the occupational health and safety program, and conducts inspections of animal use facilities. The IACUC has specific protocol submission deadlines. The Center for Comparative Medicine operates UVA vivaria and provides veterinary support. Current per diem rates are listed on the CCM web site.

Recombinant DNA and pathogens. The Institutional Biosafety Committee (IBC) oversees the use of recombinant DNA, organisms requiring at least Biosafety Level 2 conditions, and of human specimens. The IBC also inspects laboratories that have registered for one or more of these activities.

Biohazardous materials (bloodborne pathogens, radiation, hazardous chemicals, shipping biological materials, etc.). The Office of Environmental Health and Safety maintains comprehensive programs for the management of potential hazards that may be encountered during research activities. Their web site includes current health and safety policies and information on ordering radioactive materials. Click here for UVA training requirements, programs, and on-line training.

Responsible conduct of research (RCR). UVA expects the highest standards of teaching, research, and public service from its faculty and staff. Biomedical research requires both personal integrity and public trust to continue to flourish. UVA investigators should: openly exchange their findings via scientific publications; provide unique research materials to qualified academic investigators; maintain detailed records of research procedures and results; fairly assign authorship or acknowledgment in research publications to the originators of ideas, methods, and findings. These areas are of special concern for investigators:

- *Authorship.* Refer to SOM, JAMA ("Authorship Criteria and Contributions") and International Committee of Medical Journal Editors policies on authorship. *Recommended best practices:*
  - Initiate discussions concerning authorship when first planning a project: agree on authors and individuals to be acknowledged, including the order of authors and each author's responsibility on the project and in preparing resulting manuscript(s).
  - Since authors assume responsibility for the integrity of the entire publication, each author should read and approve the final manuscript and agree to take public or legal responsibility for its content.
  - SOM Authorship policy prohibits the use of ghost authors on scholarly publications and prohibits faculty from serving as ghost authors on other authors' publications.
- *Conflict of Interest.* Refer to the section below.
- *Financial sources/billing for clinical research activities.* Costs of investigational procedures or subject visits on clinical studies should not be borne by patients or third party payers, unless allowed by policy. Similarly, public funds (e.g., external awards, University facilities/staff) may not be used to support industry-funded studies without prior institutional approval. The Clinical Trials Office can help investigators and clinical study personnel determine which charges to insurers are allowable.
- *Data integrity.* Investigators should establish an analytic plan and agree on methodologies (e.g., laboratory SOPs, exclusion of outlier data) at the start of their project. Once the data are collected, verified, and locked, any changes in analytic methodology should be reported as *post hoc* and exploratory.
- *Plagiarism*. Funding agencies and journals routinely compare submitted proposals and manuscripts to libraries of prior proposals or publications. Submissions considered similar or identical to previously-published documents are being rejected and their authors are at risk for corrective actions under applicable regulations. For further guidance, consult "Guidelines for Avoiding Plagiarism, Self-Plagiarism, and Questionable Writing Practices" (DHHS Office of Research Integrity).
- *Images.* Steer clear of inappropriate computer manipulation of images when preparing them for publication or presentations. See Rossner and Yamada, J. *Cell Biol*, 2004, *166*:11-15. Consider developing a simple policy for your research group along these lines (adapted from the Southwest Environmental Health Science Center):
  - Scientific content may not be knowingly altered in any image.
  - Limited enhancements are permitted for clarity, aesthetic reasons, or to eliminate physical artifacts.
  - Any manipulations must be described in resulting publications and presentations.
- *Training in RCR.* Graduate students in the Biomedical Sciences Graduate Programs (BIMS) and individuals supported by NIH training grants or career development awards are required to be trained in RCR, by completing BIMS 7100, "Research Ethics." Additional sources on RCR:
  - *"On Being a Scientist: Responsible Conduct in Research"* (National Academy Press; free download)
  - *DHHS Office of Research Integrity materials:*
    - *"ORI Introduction to the Responsible Conduct of Research"* (Office of Research Integrity, DHHS)
    - Educational resources (select "RCR Resources")
    - "The Lab: Avoiding Research Misconduct" (video simulation allowing users to assume the role of a graduate student, postdoc, research administrator, or PI and make decisions that affect the integrity of research)
  - NIH "Update on the Requirement for Instruction in the Responsible Conduct of Research," providing recommendations on RCR training required for NIH training, career development awards, research education grants, and dissertation research grants.

Reporting misconduct. If you suspect misconduct in research, UVA policy requires that you report it to the Vice President for Research. Informal discussions with the Research Integrity Officer (RIO, Dr. David Hudson; 924-3606) may help clarify whether the suspected behavior meets the definition of research misconduct. If it does, the RIO will refer you to other officials with responsibility for resolving the problem. It is difficult to report misconduct by a superior or supervisor; however, the Research Misconduct Policy states that individuals who report allegations of misconduct or of inadequate institutional response thereto must be protected in terms of the terms and conditions of their employment or other status at the University of Virginia and requires that UVA protect the privacy of those who report misconduct in good faith, to the maximum extent possible.

Conflict of interest (COI). COI regulations govern situations in which financial considerations may compromise an individual's conduct or reporting of research, or his/her procurement decisions on behalf of the University. This section specifically refers to conflicts of interest that relate to research activities. Federal regulations and UVA