



RUTGERS UNIVERSITY
Office for Research

Achieving Compliance through Compassion: An Innovative Cognitively- Based Shift in Research Administration

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Rutgers, The State University of New Jersey

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[2024 SRAI Annual Meeting](#)

Chicago, IL

Join at
www.menti.com and
use code 9608 4011



RUTGERS UNIVERSITY
Office of the Executive Vice
President for Academic Affairs

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Poll 1

What brought you to this session?

Why did you show up here?

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Streamlining processes and international collaboration in Research Administration

Common issue is explaining to PIs why things take time or why certain steps are needed in a process.

Looking for unique solutions to common problems

Customer service/getting on the same team approach

Tips for tough conversations!

To be more effective

Compliance is key issue right now, improving compliance and building trust at same time wd be best

Empathy

What brought you to this session? Why did you show up here?

Interested in cognitive-behavior methods to improve communication with PIs

the topic

Sounded interesting

Headaches

Poll 2

What comes to your mind
upon hearing/ seeing/
thinking of the word
“COMPLIANCE”?

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What comes to your mind upon hearing/ seeing/ thinking of the word "COMPLIANCE"?

36 responses



Poll 3

What comes to your mind upon hearing/ seeing/ thinking of the word “REGULATION”?

Join at www.menti.com

Use code 9608 4011

Learning Objectives

1. Identify characteristics of human reactions to “compliance” and the challenges to monitor and maintain compliance.
2. Recognize characteristics and list methods demonstrating that compassion could be practiced and applied to cultivate a culture of compliance in research settings.



How the Journey Started



HRPP Mission

The mission of the **Human Research Protection Program (HRPP)** is to support the University's research enterprise by

- ensuring the **protection** of individuals who participate in research;
- ensuring **compliance** with all pertinent federal and state laws and regulations;
- fostering the **ethical conduct** of human subjects research; and
- providing **education** and other services related to regulatory requirements and **best practices** to Rutgers researchers.

True Stories of Compliance Fear and Dread!

- Intention to postpone audit meeting because of need to go to "emergency room"
- PI "lawyers up" after a routine audit report
- Research team nearly brings boxing gloves to for-cause audit meeting

"I think I'll quit doing clinical research altogether."

Our Challenge: The Proliferation of Regulatory Requirements

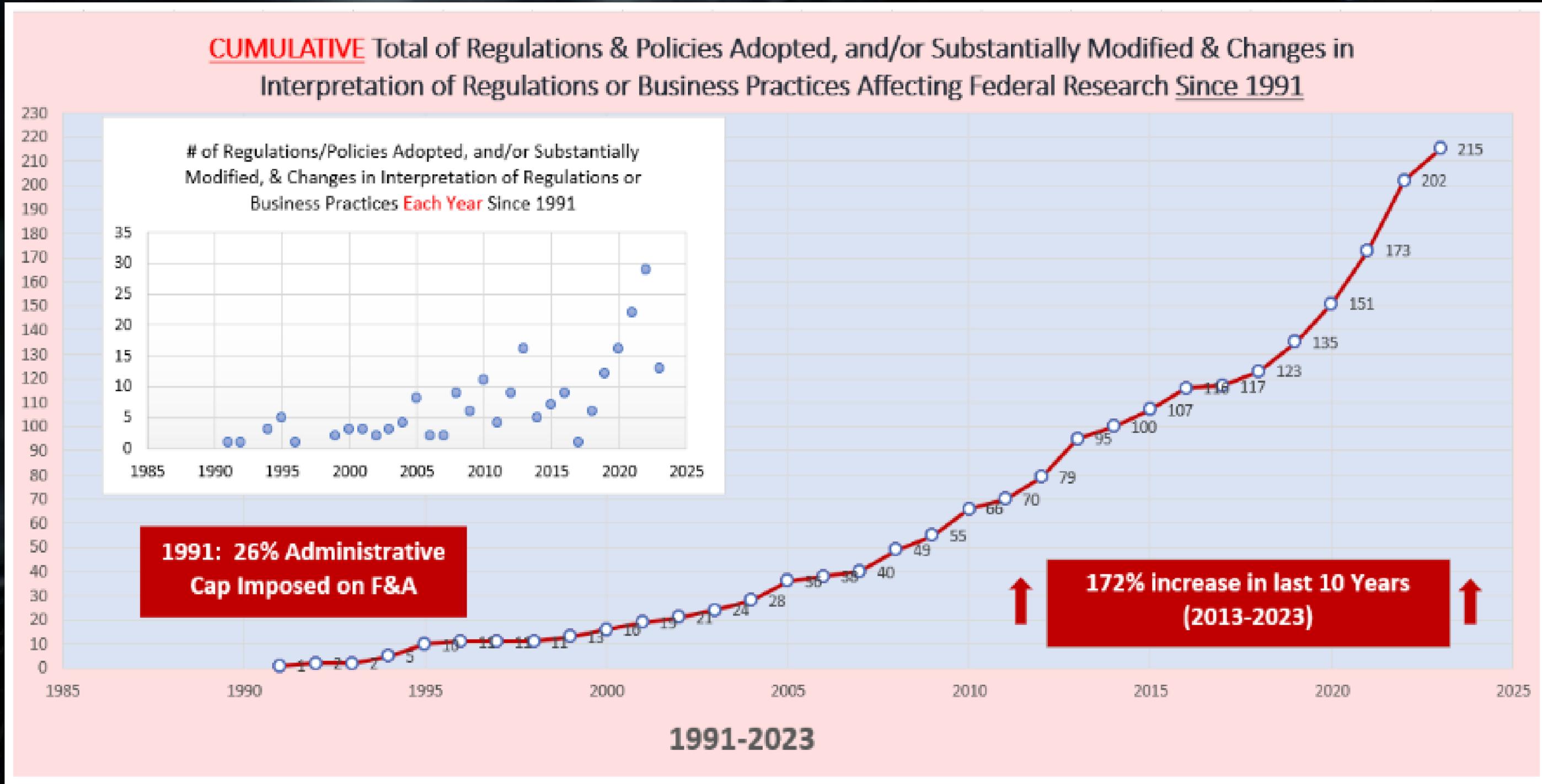


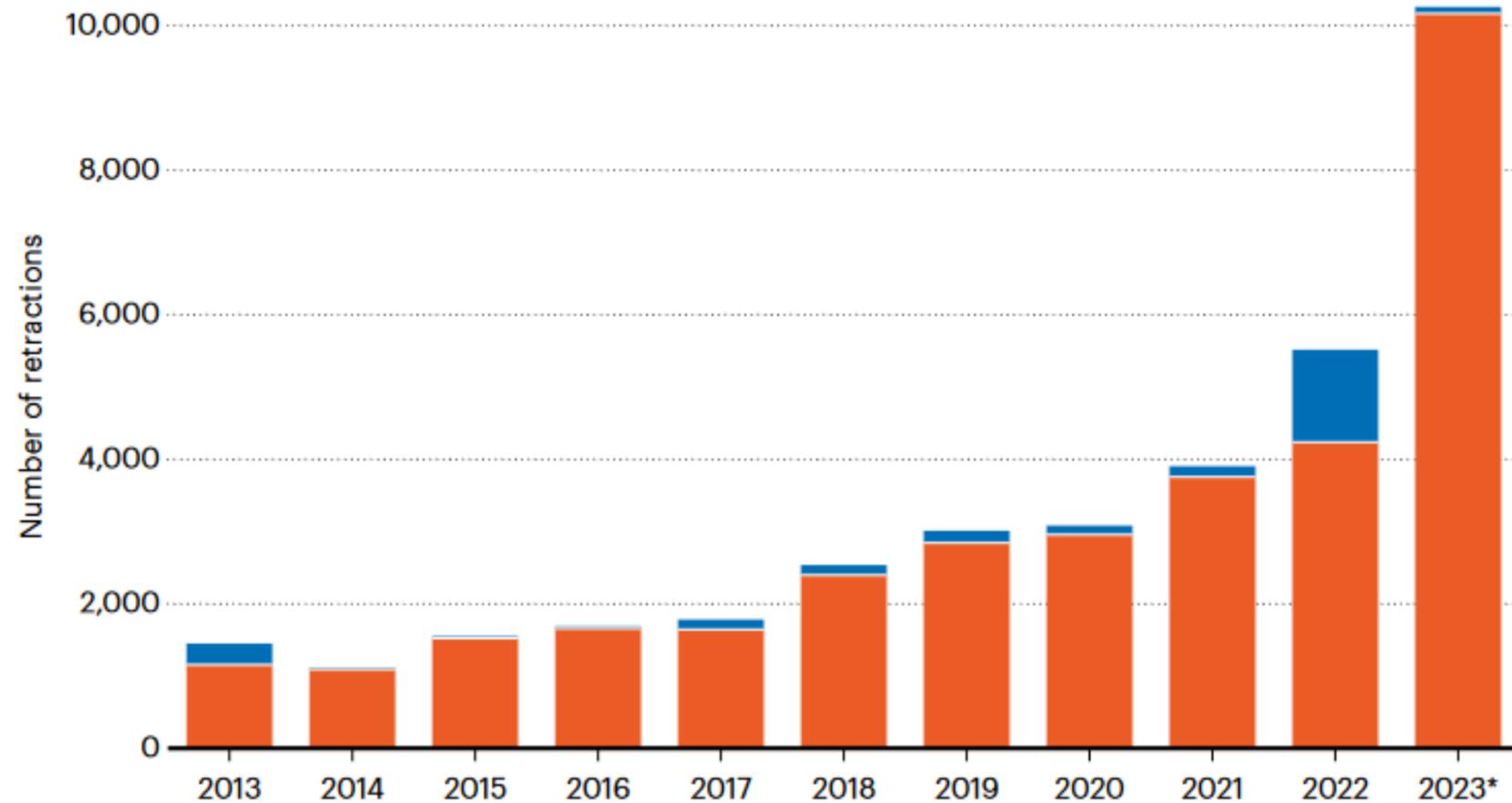
Fig. 1: Cumulative Total of Regulations & Policies Adopted, and/or Substantially Modified & Changes in Interpretation of Regulations or Business Practices Affecting Federal Research Since 1991. [COGR June 2023 Report](#)

The Battle Intensifies: Research Misconduct & Retractions on the Rise

A BUMPER YEAR FOR RETRACTIONS

Retraction notices in 2023 have passed 10,000, largely because of more than 8,000 retractions by Hindawi.

Journal articles Conference papers



*As of 8 December 2023

Van Noordan, R. December 28, 2023. [More than 10,000 Research Papers were Retracted in 2023 — A New Record. Nature.](#)

The Office of Research Integrity website, accessed 4/29/2024 at https://ori.hhs.gov/content/case_summary

U.S. Department of Health & Human Services

U.S. Department of Health & Human Services

THE OFFICE OF RESEARCH INTEGRITY

Contact Us

Home About ORI News & Events Research Misconduct Resources Programs

ORI - The Office of Research Integrity » Research Misconduct » Case Summaries

Case Summaries

This page contains cases in which administrative actions were imposed due to findings of research misconduct. The list only includes those who CURRENTLY have an imposed administrative actions against them. It does NOT include the names of individuals whose administrative actions periods have expired. Each case is categorized according to the year in which ORI closed the case.

2024

- Case Summary: Bhan, Arunoday K.
- Case Summary: Brigidi, Gian-Stefano
- Case Summary: Eokert, Richard L
- Case Summary: Mousa, Shaker
- Case Summary: Nguyen, Darrion
- Case Summary: Rutherford, Bret

2023

- Case Summary: Armstead, William M.
- Case Summary: Dannenberg, Andrew J.
- Case Summary: Frech, Ivana
- Case Summary: He, Johnny J.
- Case Summary: Hwa, Lara S.
- Case Summary: Jayawardena, Surangi (Suranji)
- Case Summary: Laliotis, Yiorgos (Georgios) I.
- Case Summary: Martin, Sarah Elizabeth
- Case Summary: Spirli, Carlo
- Case Summary: Subbaramaiah, Kotha

2022

- Case Summary: Brand, Toni M.
- Case Summary: Chang, Alice C.
- Case Summary: Jarrett, Stuart G.
- Case Summary: Jiang, Janina
- Case Summary: Leong, Daniel
- Case Summary: Majumdar, Ritankar
- Case Summary: Sun, Hui Bin
- Case Summary: Taylor, Douglas D.

2021

- Case Summary: Lin, Yibin
- Case Summary: Wang, Ya

2020

- Case Summary: Downs, Charles A.
- Case Summary: Nemani, Prasadarao
- Case Summary: Wang, Zhiwei

2019

- Case Summary: Potts Kant, Erin N.

Issues

*.... worth making
efforts to scrutinize*

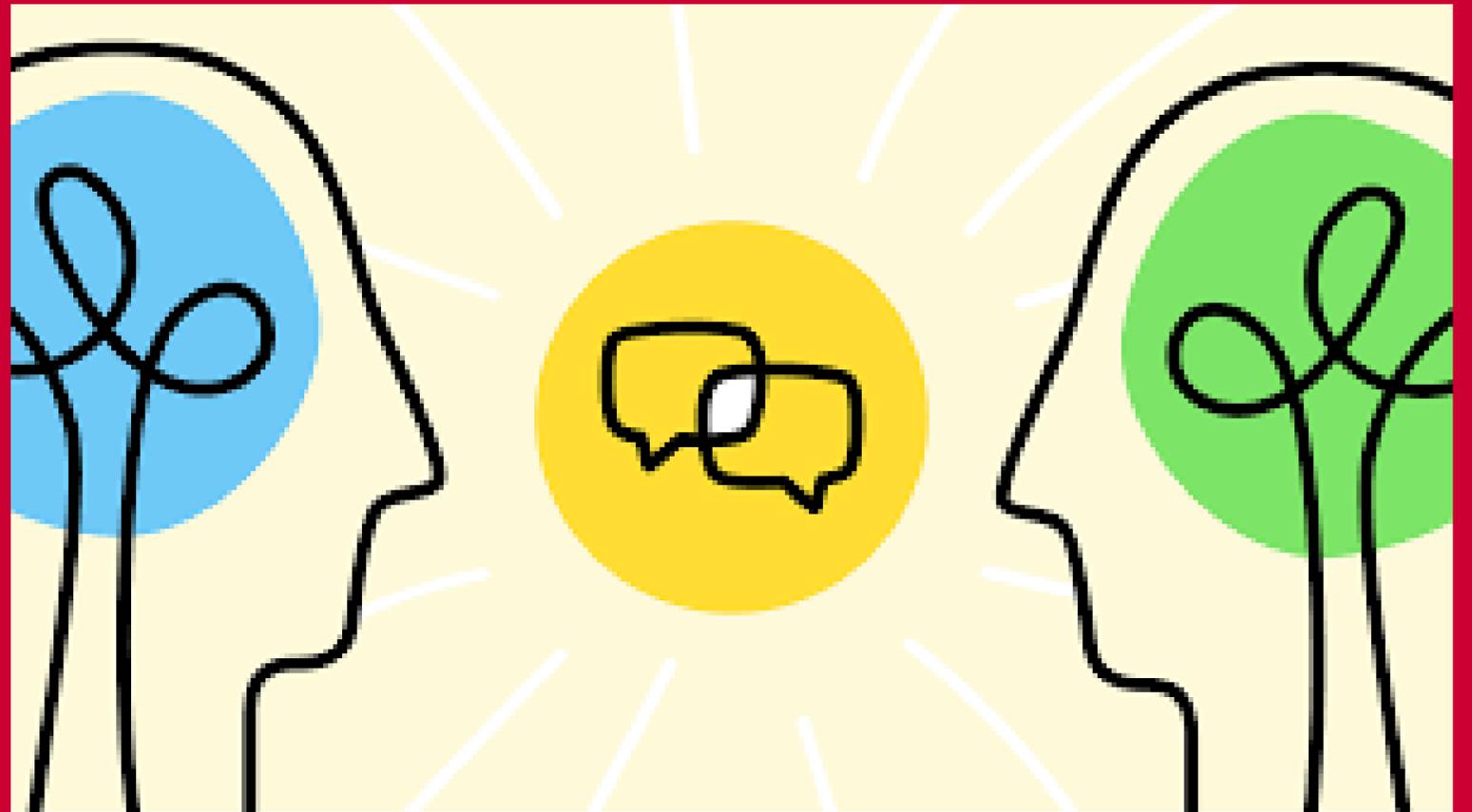
- 01 Mindset & View
- 02 Emotions & Sensations
- 03 Allocation of Institutional Resources
- 04 Intended Outcome of Human Research & Clinical Study
- 05 Goal of Compliance: Short-term & Long-term



Self Reflection

Feelings of intimidation, worries, fear, confusion

Dissecting the Matter



Which one would you change first?



Mother Theresa

*Let no one ever
come to you
without leaving
better and
happier.*

Mindset

1. Where does the change begin?

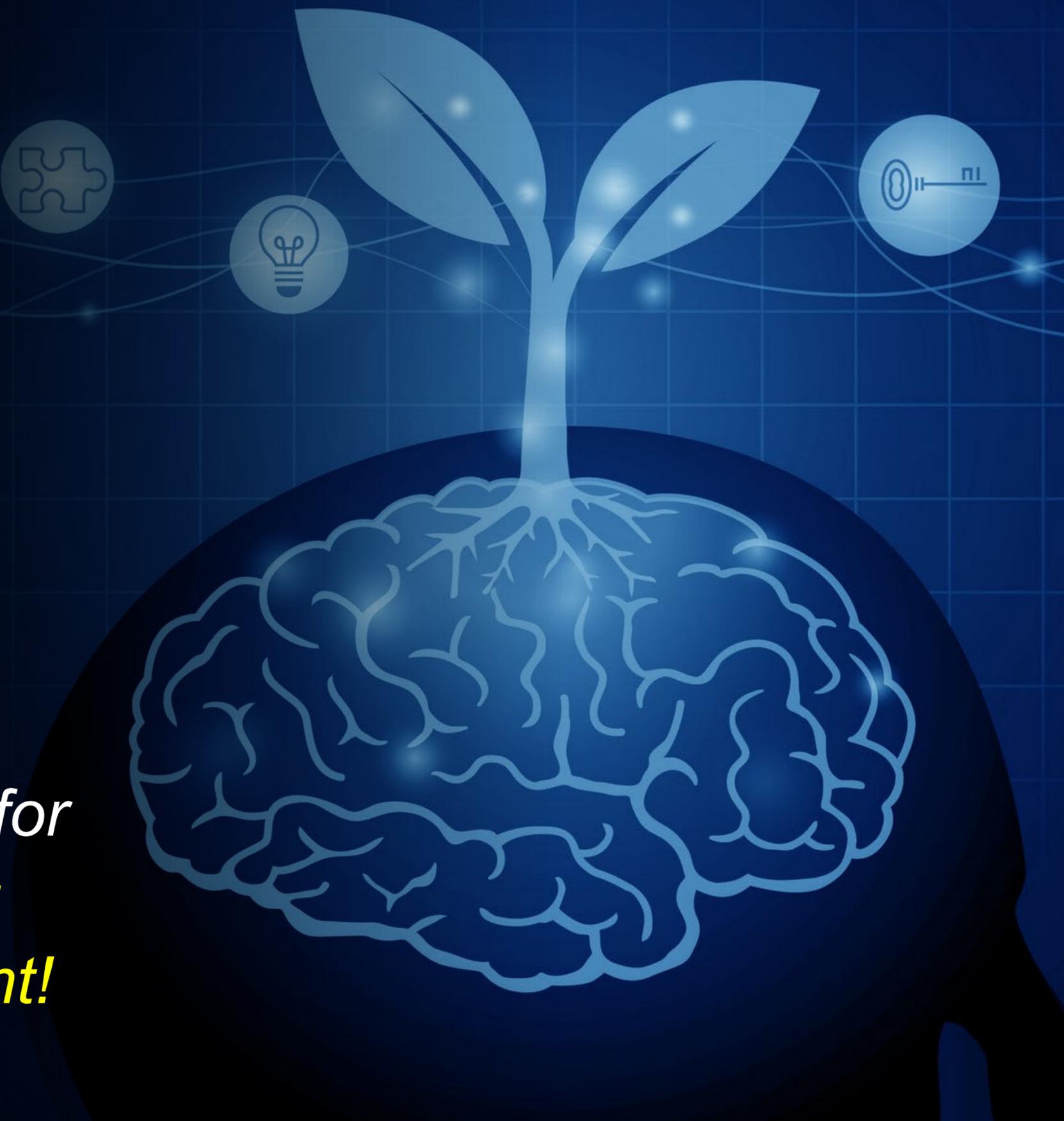
*It begins from the **intention** I have in mind!*

2. Who should initiate the change?

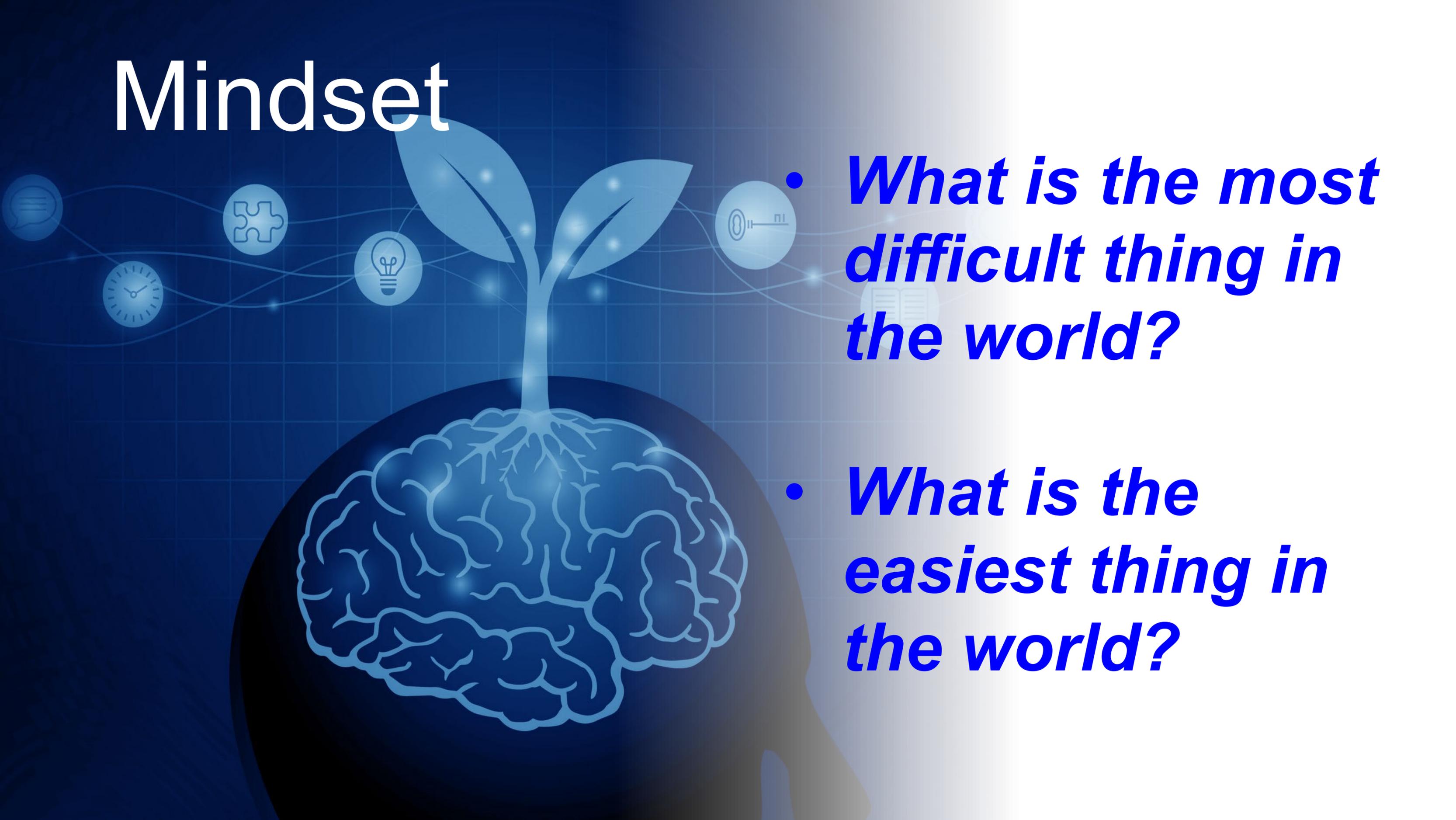
I should initiate the change!

3. What should I do?

*I should work at the causes for such practice: **plant the right causal seed at every moment!***



Mindset



- ***What is the most difficult thing in the world?***
- ***What is the easiest thing in the world?***



Going With The Flow...

WHY COMPASSION?

"Compassion and love are not mere luxuries. As the source both of inner and external peace, they are fundamental to the continued survival of our species."

~ The Dalai Lama

Ethics for a New Millenium



WHAT IS COMPASSION?

THREE ASPECTS

Affective

Feeling of warm-heartedness and closeness

Cognitive

Awareness / understanding of someone's suffering

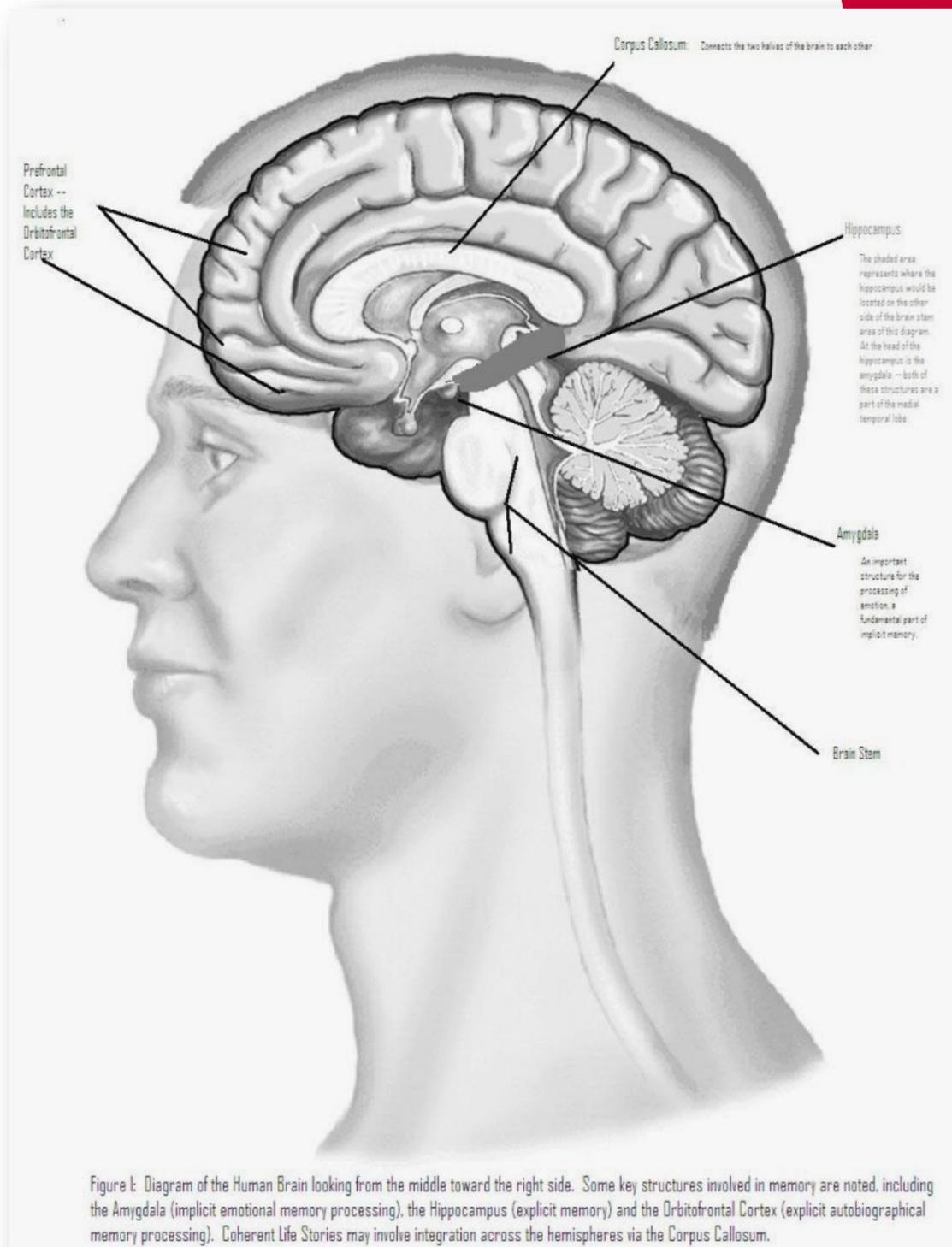
Motivational

Desire / wish to alleviate the suffering

Compassion is an emotion involving the wish to relieve or prevent the suffering of another out of a genuine concern for their well-being and a sense of warm-heartedness & tenderness and care for them.

- It refers to a way of relating to oneself, others, and humanity as a whole through kindness, empathy and a concern for both happiness and suffering.

Compassion from the Perspective of Brain



By Elaine Miller-Karas of the Trauma Resource Institute

Limbic Area: Uses the language of **EMOTION**

- Assesses risk
- Expression and mediation of emotions and feelings, including attachment

Cortex: Uses the language of **THOUGHT**

- Integrates input from all 3 parts
- Cognition, beliefs, language, thought, speech

Survival Brain: Uses the language of the **BODY**

- Carries out “fight, flight & freeze”
- Unconscious
- Digestion, reproduction, circulation, breathing
- Responds to sensation

Self-compassion is not:

- Complacency
- Self-indulgence
- Self-pity
- Self-esteem

WHAT IS SELF-COMPASSION?

an abiding attitude of kindness toward **self** in the face of our limitations and difficulties

MINDSET #1: "I am not alone."

Self-compassion arises from seeing the reality of our vulnerabilities and imperfections and recalling that we share such flaws and struggles with others.

MINDSET #2: "There is something I can do."

Self-compassion engenders a confidence in our ability to understand and alleviate our deeper sources of distress over time.

WHY COMPASSION IN REGULATIONS?

Why Rules/ Regulations?

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- Keep people safe
- Protect interests
- Shield from mistakes/ troubles
- Avoid undesirable consequences
- Remedy injustice or concerns
- Maximize benefits
- Enhance/ Ensure quality



Why Rules/ Regulations?

To protects all parties involved

Cooperation

Order

Protection and order

Compliance

For safety and ethical behavior

To make sure no one is being harmed - intentionally or not - during the process of research

Fairness. Morality.

Why Rules/ Regulations?

Protection

Protect against harm; do the right thing;

To control for bad behavior.

Calm the chaos

Order

Control, structure, safety

To maintain order

Order

Why Rules/ Regulations?

For safety, protection,
and because someone
messed up before

So everyone is on the
same page. Sets the
standards.

People often do not act by
nature in ways that promote
human flourishing

so there is organization

Justice

Control

Protection

To keep one honest

Why Rules/ Regulations?

To greater community standards

Protection

To control for those who take advantage of the common good.

To protect the vulnerable
To act as a check on our desire to achieve own ends

Consistency

Order

Ethics for a Whole World

In fact, the inner motivational dimension is the most important aspect of ethics. For when our motivation is pure, genuinely directed toward the benefit of others, our actions will naturally tend to be ethically sound. This is why I consider compassion to be the core principle on which an entire ethical approach can be built. It is from a compassionate concern for the welfare of others that all our ethical values and principles arise, including that of justice.

~ The Dalai Lama
Beyond Religion



Compassion: Heart of Laws

The fact is, we will never solve our problems simply by instituting new laws and regulations. Ultimately, the source of our problems lies at the level of the individual. If people lack moral values and integrity, no system of laws and regulations will be adequate.

~ The Dalai Lama
Beyond Religion





Action: What I Have Been Doing

What I Have Been Doing

(and so can you!)

1. Embrace Self-care/ Self-compassion
2. Engender Understanding towards Others
3. Excel in Communication
4. Express Gratitude without reservation
5. Exaggerate the Positives and Let Go the Negatives, no matter what
6. Enjoy the process



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A close-up photograph of a sunflower head, showing the intricate details of the yellow petals and the central disk of stamens. The lighting is warm, highlighting the texture of the flower. The text is overlaid on the image in a white, serif font.

Taking Care of Myself
is a **RADICAL** Act of Love

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Engender Understandings Toward Others



Adam Grant ✓
@AdamMGrant

Blaming and shaming doesn't stop people from making mistakes. It stops them from admitting mistakes.

If people can't share their blunders, they can't learn from them—and neither can the rest of us.

The best way to prevent errors is to make it safe for people to discuss them.

- ❖ Make it **safe** for people to open and discuss comfortably.
- ❖ Recognize that majority of **people want to do good**, be helpful, and contribute to the society.
- ❖ Claim the “**common ground**” and **breed connections** – we share the same vulnerabilities, goal and interest.
- **What screws you up is not the situation, but **the view** you have on that situation.**

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[A Grateful Day with Brother David Steindl-Rast](#)



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Enhancing Self-Awareness

"Between stimulus and response there is a space. In that space is our power to choose our response. In our response lies our growth and our freedom."

Attributed to Viktor Frankl
Psychotherapist
Man's Search for Meaning

What I Have Been Doing

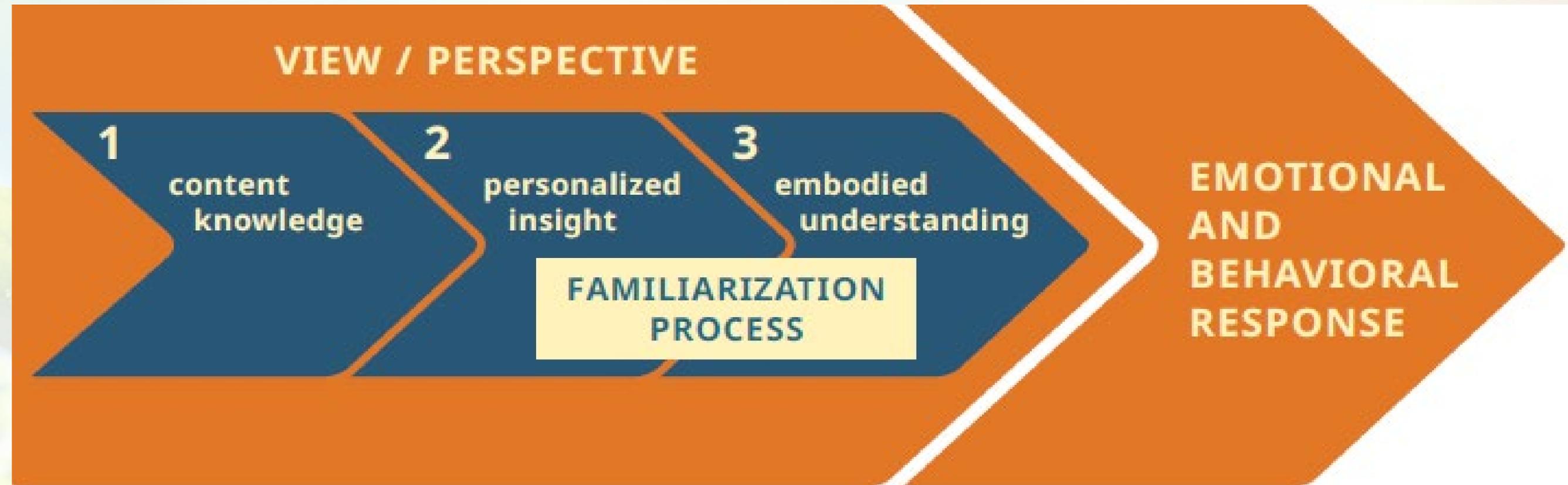
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If it ain't fun, it
ain't worth
doing.



Model of Change



Cognitively-Based Compassion Training

What I Have Been Doing

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2. Engender Understanding towards Others
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6. Enjoy the process

SO CAN YOU!



Feedback from One Investigator

“As our Audit is coming to an end, I would like to take a moment to convey my sincere appreciation for reviewing and giving constructive compliments to our research project. I have learned so much from working with you in this Audit. **Thank you very much for making this process easy and a learning experience.**”

JM, 11/9/2020

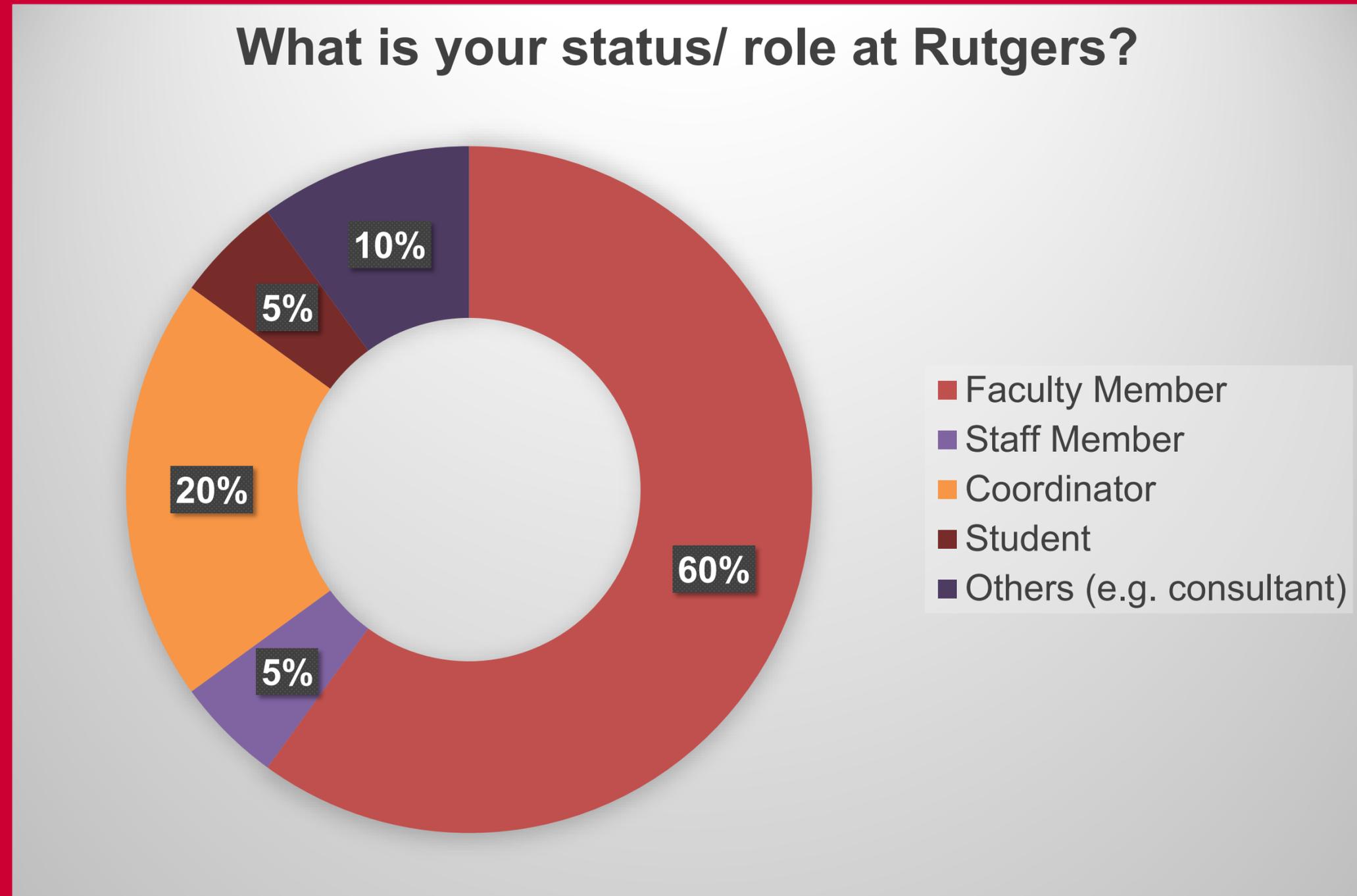
Review Checklist

Pilot kicked off in December 2023.

4 Feedback of this Routine Review: Please indicate your response to the questions below by choosing the appropriate number, with 1= Not <u>At</u> All and 5 = Extremely	
<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5	1. I have been heard in this review process.
<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5	2. I feel confident applying what I've learned to perform what is expected of me.
<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5	3. My concerns/ worries <u>in regard to staying in compliance</u> have been addressed.
<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5	4. I feel I am supported and/ or accompanied throughout this review process.
<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5	5. I am committed to staying in full compliance through the end of this study's lifecycle.
General Comments	

Results of Feedback

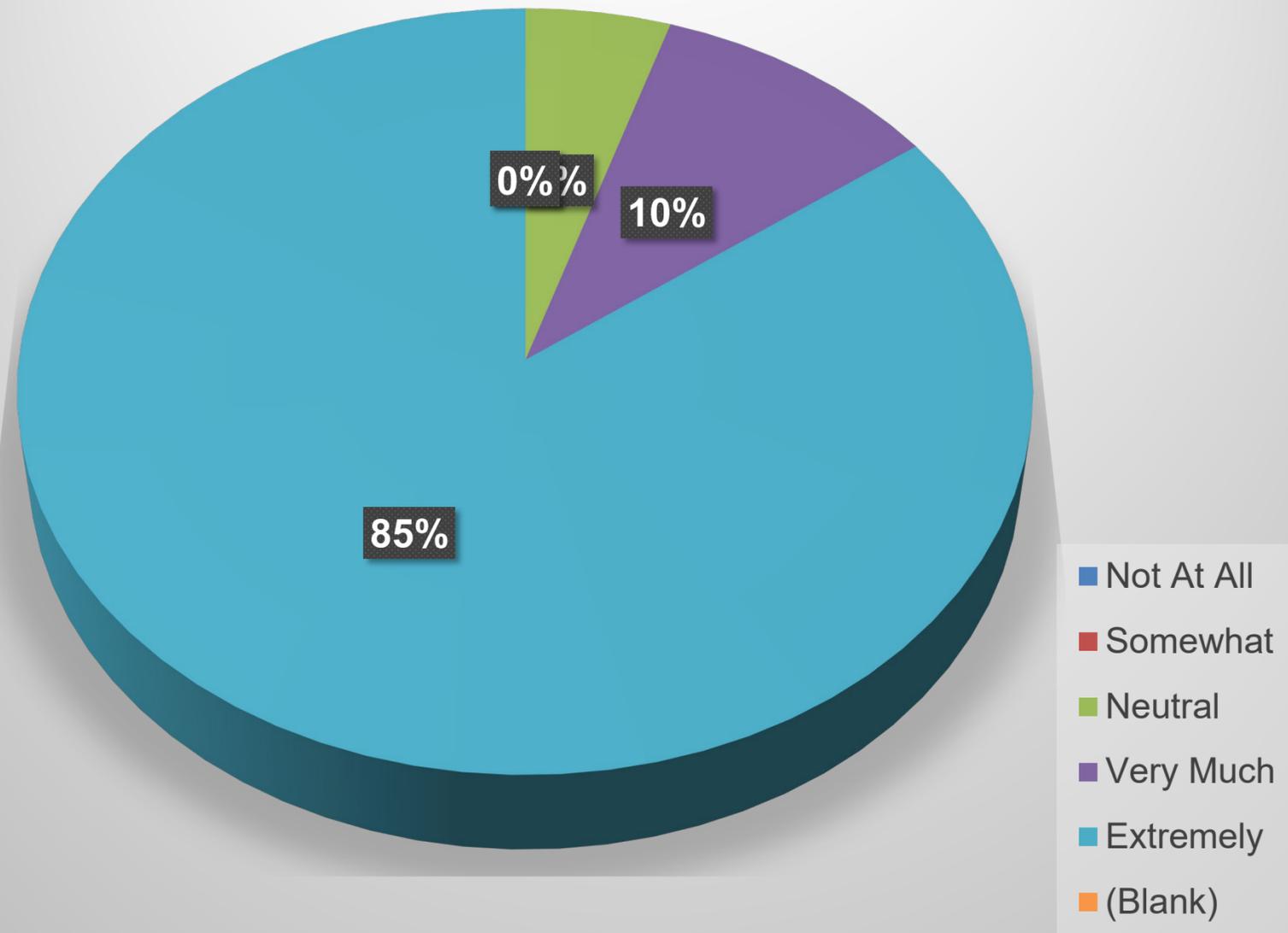
- Pilot kicked off in Dec. 2023
- Responses from 20 investigators (~ Sep. 2024)



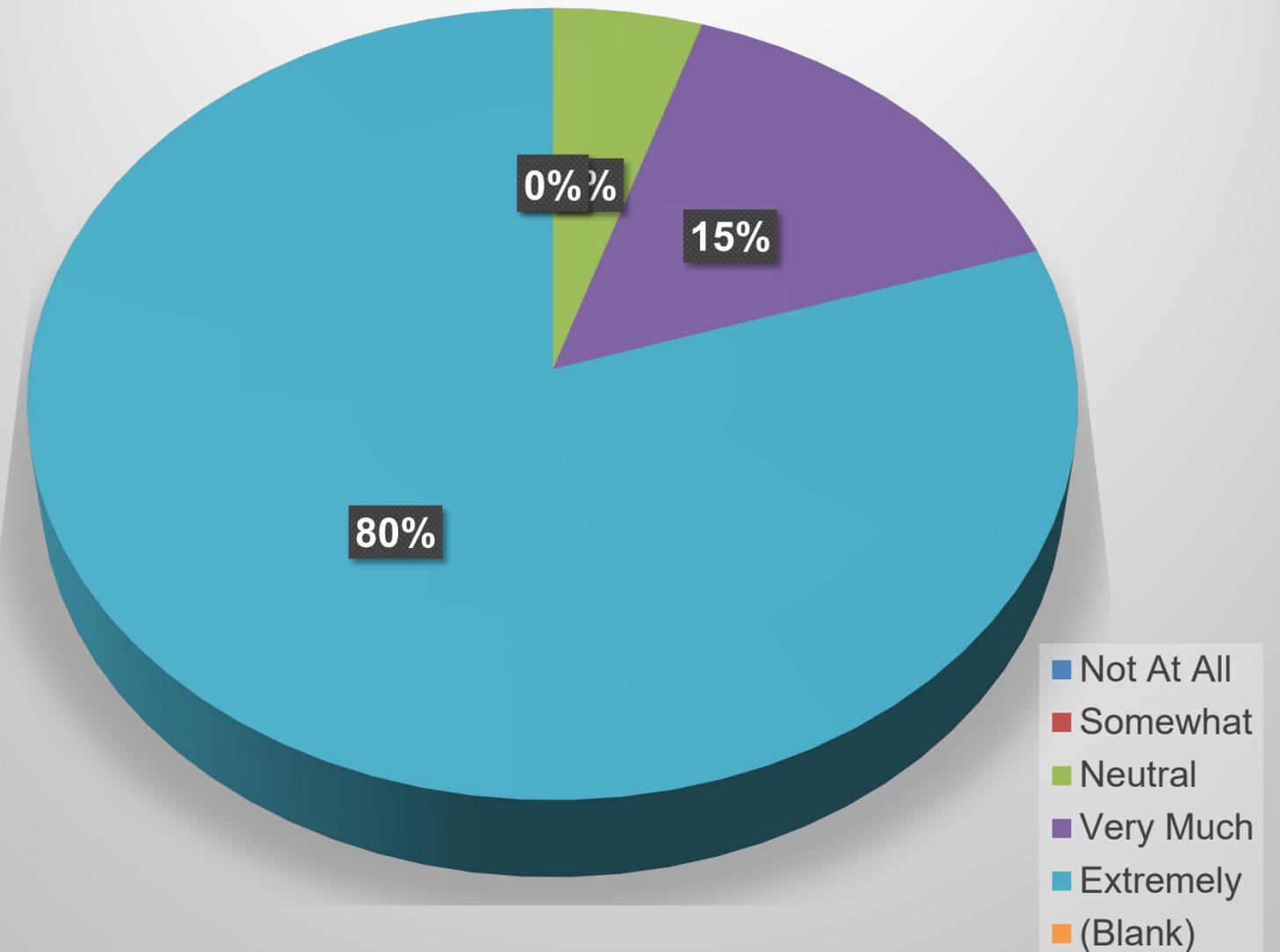
Results of Feedback

➤ Responses from 20 investigators (Dec. 2023 ~ Sep. 2024)

1. I have been heard in this review process.



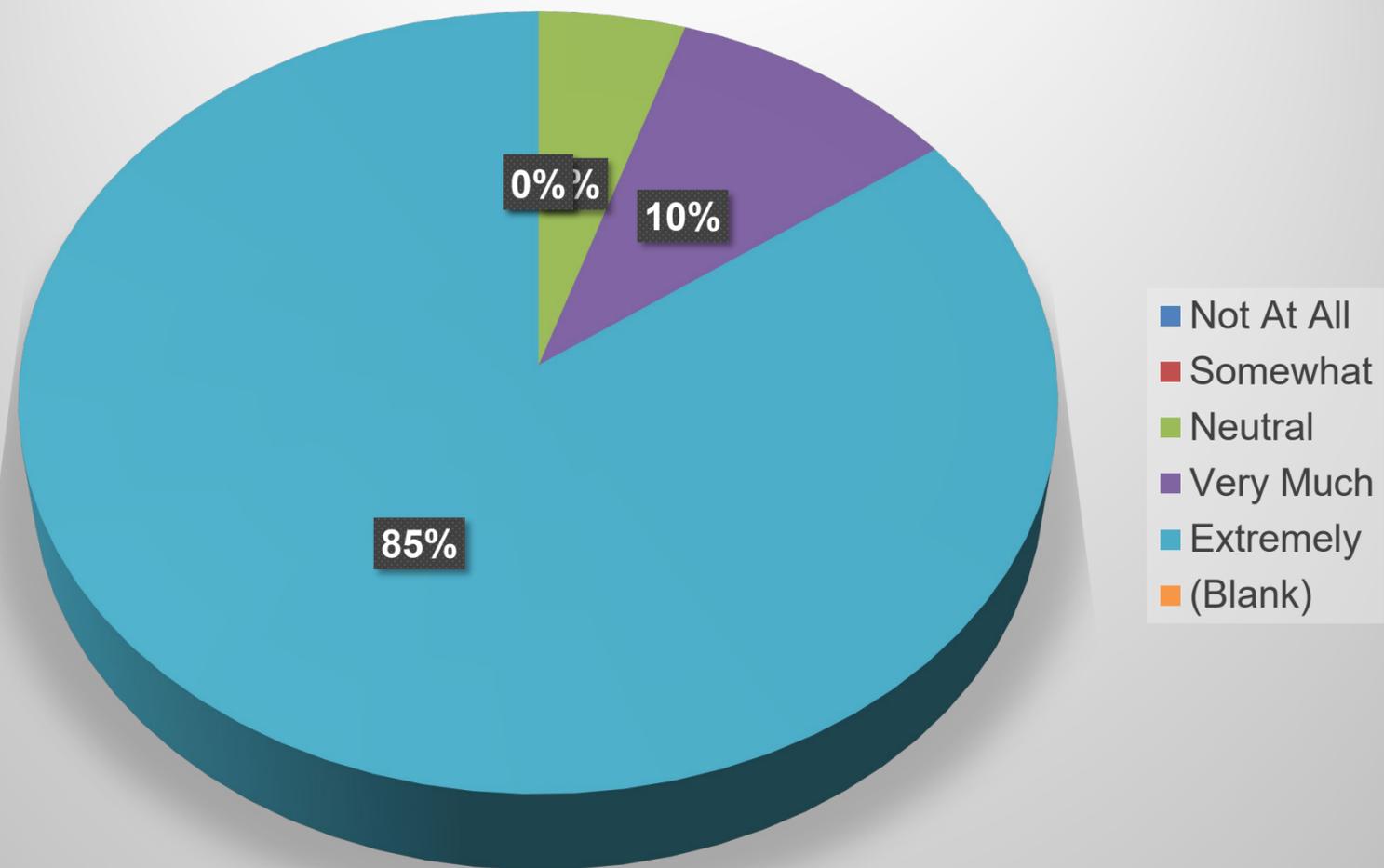
2. I feel confident applying what I've learned to perform what is expected of me.



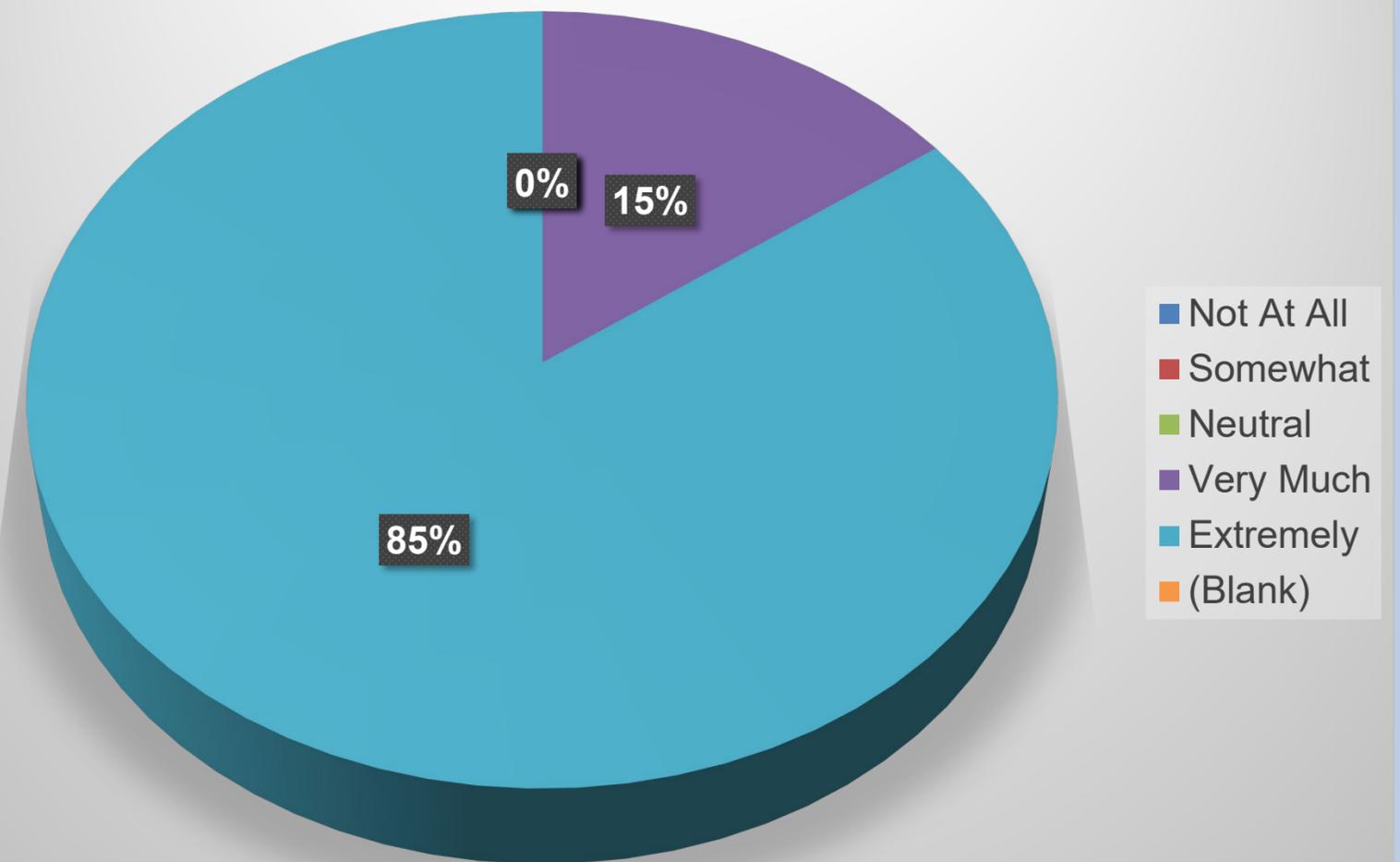
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3. My concerns/ worries in regard to staying in compliance have been addressed.



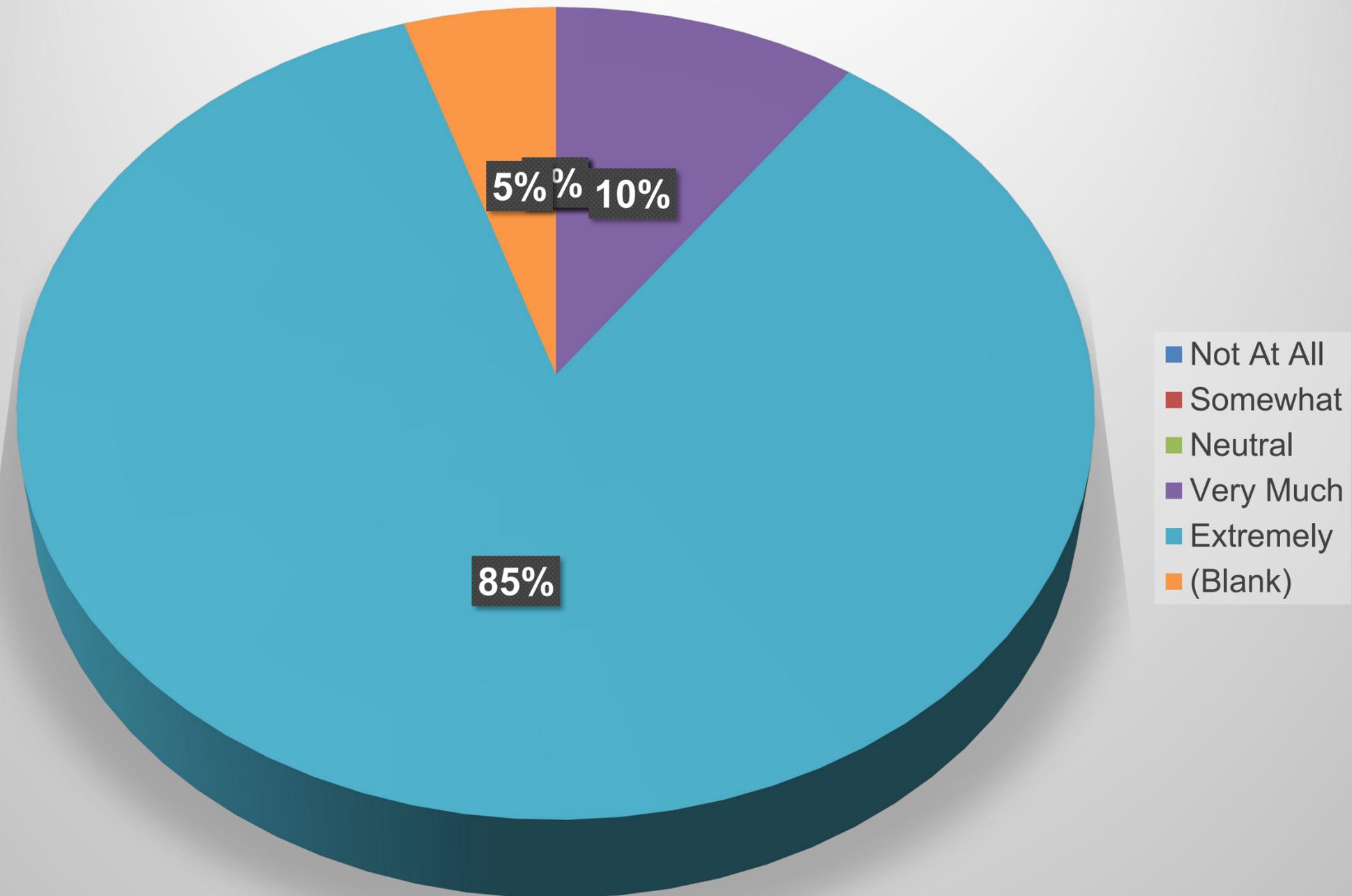
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Results of Feedback

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Results of Feedback

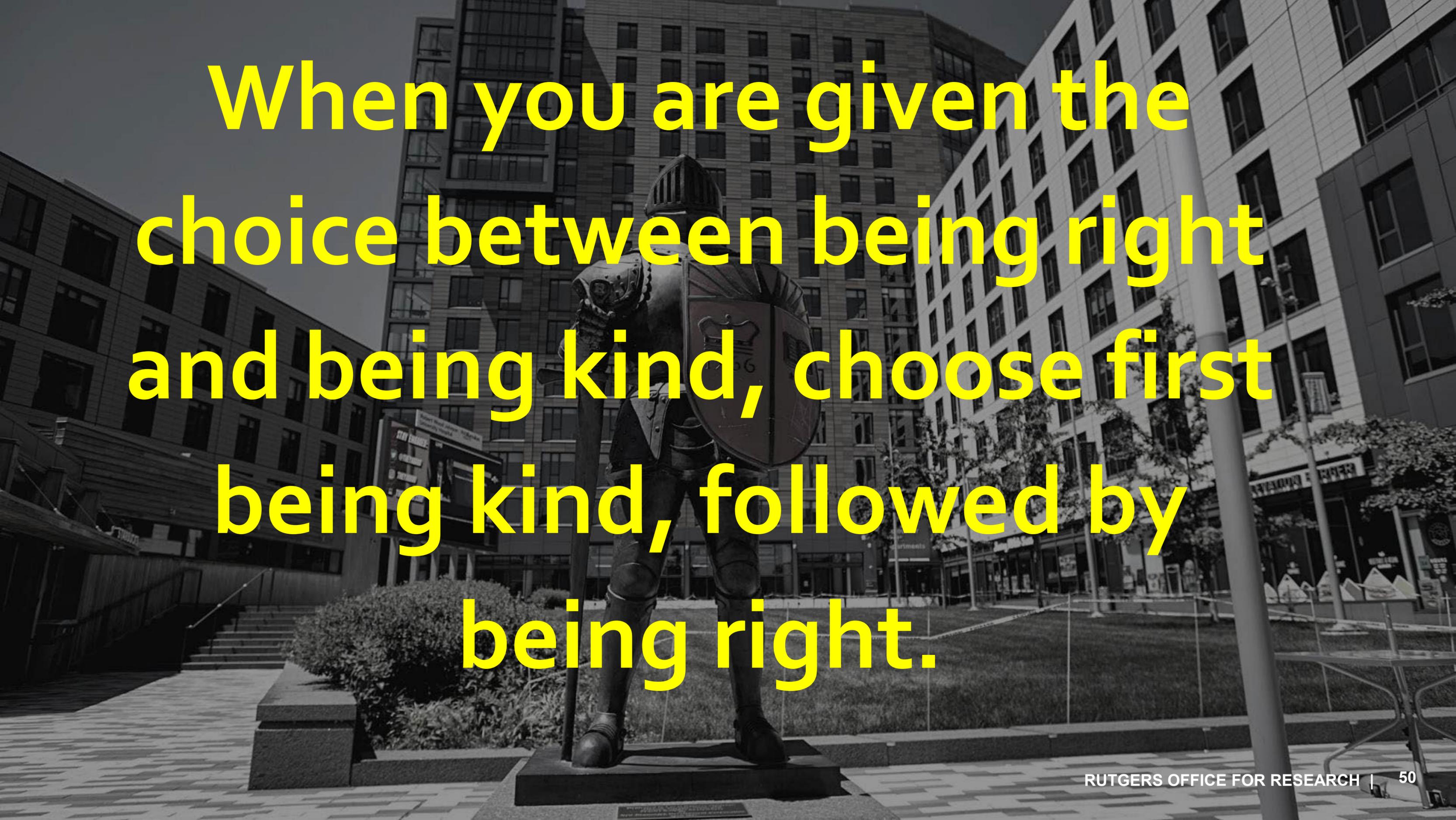
➤ Responses from 20 investigators , Dec. 2023 ~ Sep. 2024



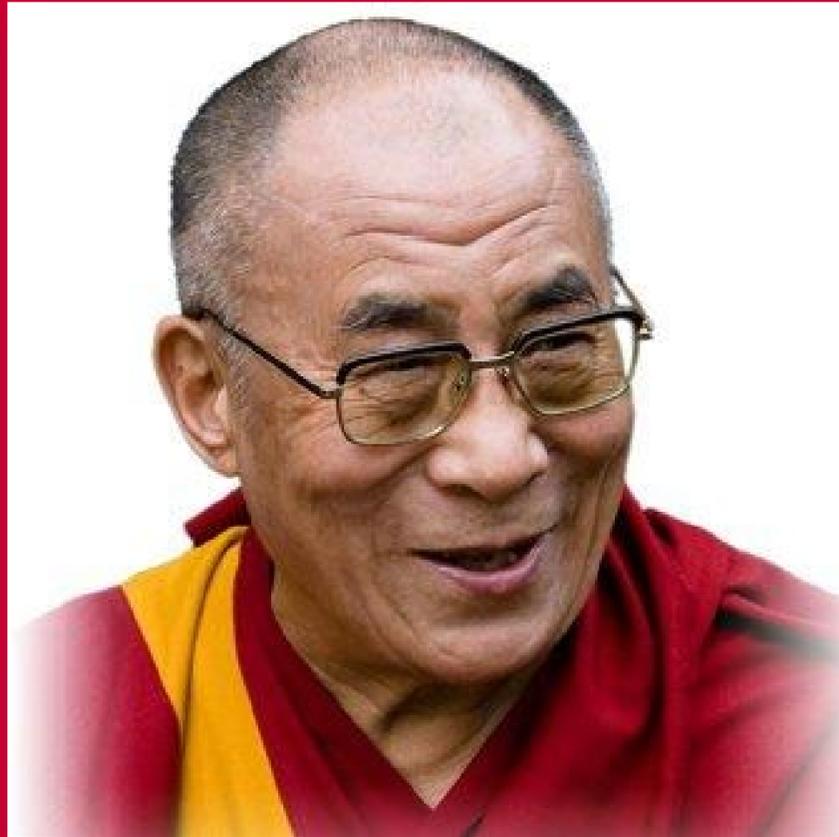


Mother Theresa

*Let no one ever
come to you
without leaving
better and
happier.*



When you are given the choice between being right and being kind, choose first being kind, followed by being right.



His Holiness the Dalai Lama
Ethics for a New Millenium

*If you want others to
be happy, practice
compassion.*

*If you want to be
happy, practice
compassion.*

Resources

1. Emory Compassion Center: <https://www.compassion.emory.edu/>
2. Stanford Compassion Center: <https://ccare.stanford.edu/>
3. Compassionomics: <https://www.compassionomics.com/>
4. Dr. David Richardson/ Center for Health Minds: <https://centerhealthyminds.org/>
5. Dr. Monica Worline/ Center for Positive Organizations: <https://positiveorgs.bus.umich.edu/>
6. Dr. Emiliana R. Simon-Thomas/ Greater Goods Science Center : <https://greatergood.berkeley.edu/>
7. Dr. Kristin Neff/ Self- Compassion: <https://self-compassion.org/>
8. [Power of compassion: Revolutionising healthcare in India](#)
(updated April 7, 2023)



Thank you for your participation!

N. Rebecca Chen

chennr@research.rutgers.edu

Temporary Tattoos

How to Apply

1. Cut out tattoo of choice and remove the clear sheet
2. Place tattoo face down on skin
3. Wet tattoo thoroughly with a damp towel or sponge, pressing down firmly for 10-20 seconds
4. Gently peel off paper, if part of the tattoo has not transferred, press down and wet again.
5. Allow tattoo to dry

If treated with care, tattoos can last up to 1 week or longer!

How to Remove

Use baby oil or olive oil to wipe off the tattoo from your skin



<https://forms.gle/Kkds9jTMwzAwe7Jn7>

