Research Integrity: The Institutional Perspective

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Welcome – who I am

- **Debra Schaller-Demers - NYC**

What is the difference between *ethics, integrity, and compliance?*

- Research *ethics*, research *integrity*, and research *compliance* are often used interchangeably.
- To be effective in their roles, it is important for members of the research community to understand the fundamental differences amongst these three concepts.
- Differences in how these words are used within an institution will determine how a research enterprise is structured and its approach to policies and procedures.

The more we know about
why we must do something the more apt
we are to do it and to do it correctly.

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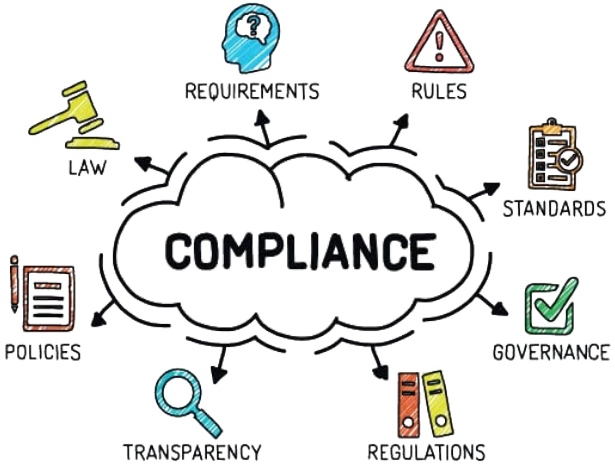
Where are you on the ethics/compliance spectrum?

Opposing or Complementary?



Small Group Discussion:

- *Where does your institution fit?*
- *What carries more weight – ethics or compliance?*
- *Do they balance out in the end?*

RECR/RCR = Research Ethics, Compliance, and Integrity

How does integrity fit between ethics and compliance?

Research Obligations

Kalichman & Plemmons, 2014

How should researchers and staff who support them act?

- The choices are not always obvious or clear.
- It may be a matter of "right vs. right" rather than "right vs. wrong."

The obligation is not necessarily to make the right decisions, but to strive to make the best possible decisions.

- **Research:**
  How should research be conducted to meet our obligations to preserve and promote the integrity of research findings?
- **Researchers and Staff:**
  How should researchers and staff interact with one another to meet our obligations to others in their research community?
- **Society:**
  How should researchers and staff interact with the larger communities, academic and public, to meet our obligations to the society in which we live and work?
- **Asking Questions:**
  How, when, and where should researchers and staff be prepared to ask questions about the conduct of science to meet their obligations to the research, researchers, and society?

Ethical Principles for Conducting Research

Principle	Behavior
Honesty	Honestly report data, results, methods and procedures, publication status, research contributions, and conflicts of interest. Do not fabricate, falsify, or misrepresent data in scientific communications, including grant proposals, reports, publications, and curriculum vitae.
Objectivity	Strive for objectivity and reproducibility in experimental design. data analysis, data interpretation, publication, peer review, personnel decisions, grant writing, expert testimony, and other aspects of research where objectivity is expected or required.
Carefulness	Avoid careless errors and negligence; carefully and critically examine your own work and the work of your peers. Keep good records of research activities, such as data collection, research design, consent forms, and correspondence with agencies or journals.
Credit	Allocate credit fairly on publications, patents, and other scientific and scholarly works. Do not plagiarize.
Openness	Share data, results, ideas, tools, materials, and resources. Be open to criticism and new ideas.

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From: Shamoo, Adil E, and David B Resnik. 2022. *Responsible Conduct of Research*. 4th ed. New York: Oxford University Press.

Principle	Behavior
Transparency	Disclose materials, methods, experimental designs, conflicts of interest, and other types of information needed to understand and evaluate research.
Accountability	Take responsibility for your roles in research projects. Be prepared to answer questions about what you did and why and cooperate with audits and investigations of your research.
Confidentiality	Protect confidential communications, such as papers or grants submitted for publication, personal records, proprietary information, and records that identify individual research subjects or patients.
Respect for colleagues	Treat scientific colleagues (e.g., collaborators, peers, students, trainees, and research staff) with respect and professionalism. Do not physically or psychologically harm, threaten, abuse, or intimidate colleagues.
Non-discrimination	Do not practice favoritism; treat colleagues fairly. Do not discriminate against colleagues on the basis of sex, gender, sexual identity, race, ethnicity, religion, disability, or other characteristics not related to scientific qualifications.

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Principle	Behavior
Safety	Ensure that the research environment is safe. Take appropriate steps to prevent, minimize, or mitigate physical, chemical, biological, and psychosocial risks, including risks related to harassment or inappropriate conduct.
Respect for intellectual property	Honor patents, copyrights, and other forms of intellectual property. Do not use unpublished data, methods, or results without permission.
Intellectual freedom	Do not interfere with freedom of thought and inquiry, and support the free expression of scientific information and ideas.
Protection for animals used in research	Protect the welfare of animals used in research. Do not conduct animal experiments that are scientifically unnecessary, poorly designed, or needlessly cruel and inhumane.
Protection of human research subjects	Protect the rights, dignity, and welfare of human research subjects. Obtain informed consent from competent, adult subjects; minimize research harms and risks and maximize benefits; take special precautions with vulnerable populations; and distribute the benefits and burdens of research fairly.

From: Shamoo, Adil E, and David B Resnik. 2022. *Responsible Conduct of Research*. 4th ed. New York: Oxford University Press.

Can RECR/RCR education make a difference?

Let's discuss:

- ***Can educational programs impact ethical decision making and behavior?***

- Key points:
  - Institutional Commitment
  - Awareness – Reflection
  - Expectations – open and safe environment
  - Consequences

Questions?
Closing Comments?

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Thank You!

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