

Responsible Conduct of Research

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Responsible conduct of research (RCR)/Research Misconduct:

The VPR commissioned a working group (Jim Geddes, Lisa Cassis, Kim Carter, Mark Suckow, David Kinsella, Helene Lake-Bullock, Ian McClure, Robert DiPaola, Richard Grondin, Terry Malone) in May, 2019, to review:

- Current RCR policies and procedures,
- RCR program offerings,
- Issues around research misconduct.

The committee made several recommendations regarding RCR and research misconduct training.

New Requirements for RCR Training

- Required RCR CITI on-line training for all faculty, staff and students participating in research (initial completion of 6 modules, with annual refresher for each)(see <https://www.research.uky.edu/responsible-conduct-research/getting-started>).
- Required in person RCR training for all research-related personnel (annually, paused during COVID-19 pandemic).
- Access to an electronic laboratory notebook for data storage and filing (<https://www.research.uky.edu/ERN>). Currently more than 650 users across campus.
- Augmented communication and creation of a research whistleblower hotline for anonymous reporting (by phone or form) (see <https://www.research.uky.edu/research-misconduct/whistleblower-process>).
- Augmented communication to promote RCR through lunch and learn series, seminar programs, newsletters and other offerings.
- Comprehensive website with definitions, training requirements, frequently asked questions, links to additional information (from the Office of Research Integrity)(see <https://ori.hhs.gov/sites/default/files/rcrintro.pdf>).

Who is required to complete the training?

- All faculty with research effort on the DOE.
- Anyone on a sponsored project (paid or as co-I).
- Anyone on an active IRB or IACUC protocol.
- Applies to students (graduate and undergraduate).
- Does not matter what title series for faculty.

What are the online modules?

- 6 modules that cover:
 - Conflict of interest
 - Mentoring
 - Data management
 - Reproducibility of research
 - Research Misconduct
 - Peer review
- Annual refresher course.

Process to date

- July 17, 2020: Campus email to all required to complete training.
- On November 19, 2020, a reminder was sent to complete training.
- On December 16, 2020, reminder sent.
- On March 30, 2021, reminder sent.
- Additional reminders within RCR Newsletter, Impact KY newsletters (2 times)
- In addition, ORI sent 2 additional email reminders, and are notifying personnel when refresher course is needed.

Our Process (SOP)

- We have developed Online Tableau reports for central-level tracking.
- College-level personnel have access to both summary level reports and detailed data for their own tracking purposes. These reports are sent to ADRs on a monthly basis.
- ADR/Dean Responsibility:
 - Promote/inform all affected personnel
 - Work with Chairs/Unit Director to assuring training is completed
 - If penalties are applied because of lack of adherence, assure they are enacted until training is completed.
- Chair/Unit Directors Responsibility:
 - Ensure personnel assigned to unit complete training.
 - Communicate with status report.
 - Provide, in writing, exemption requests and direct individuals to the online exemption form (see https://uky.az1.qualtrics.com/jfe/form/SV_51mkNQIO3uybbgO).
 - Participate in ad hoc committee to review exemption requests.

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RCR Within Year							
Total Required To Complete RCR		Complete		Not Complete		Refresher w/out Basic	
N	%	N	%	N	%	N	%
14,157	100.0%	8,751	61.8%	5,310	37.5%	96	0.7%

Employee Type
All

Source: vRCRCumulative (Reporting) updated: November 8, 2021

College	RCR Within Year						Total Required	
	Complete		Not Complete		Refresher w/out Basic		N	%
	N	%	N	%	N	%		
Academic Enrichment	1	100%					1	100%
College of Ag, Food and Environment	1,026	71%	417	29%	10	1%	1,453	100%
College of Arts & Sciences	1,213	76%	367	23%	10	1%	1,590	100%
College of Business and Economics	138	59%	97	41%			235	100%
College of Communication and Information	129	75%	43	25%			172	100%
College of Dentistry	80	73%	30	27%			110	100%
College of Design	63	51%	59	48%	1	1%	123	100%
College of Education	676	72%	254	27%	7	1%	937	100%
College of Engineering	690	89%	83	11%	1	0%	774	100%
College of Fine Arts	155	48%	165	51%	1	0%	321	100%
College of Health Sciences	401	75%	131	24%	6	1%	538	100%
College of Law	43	11%	353	89%			396	100%
College of Medicine	1,686	68%	793	32%	17	1%	2,496	100%
College of Nursing	327	98%	6	2%	1	0%	334	100%
College of Pharmacy	145	48%	153	51%	3	1%	301	100%
College of Public Health	256	80%	63	20%	1	0%	320	100%
College of Social Work	478	31%	1,085	69%	4	0%	1,567	100%
Graduate School	96	28%	250	72%	3	1%	349	100%
Lewis Honors College	9	75%	3	25%			12	100%
Library Administration	50	98%	1	2%			51	100%
Other	1,089	52%	957	46%	31	1%	2,077	100%
Grand Total	8,751	62%	5,310	38%	96	1%	14,157	100%



for Research

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Faculty: Who are on grants and contracts and/or protocols and have NOT completed RCR or Not Refreshed Training

University of Kentucky
RCR Break-Outs by College Updated: 11/08/2021
 PAID-OSPA-PROTOCOL
FACULTY: Faculty required to complete RCR who are NOT in compliance and are either paid on a sponsored project, listed as a PI or Co-I on a sponsored project, or are on an IRB/IACUC protocol.

Unit	Total	Research DOE			Did not renew training w/Refresher Course		Took the wrong course		Never Completed	
		Average	Min	Max	N	%	N	%	N	%
College of Ag, Food and Environment	70	43.1%	0.0%	95.0%	41	59%	3	4%	26	37%
College of Arts & Sciences	36	39.5%	0.0%	70.0%	21	58%	2	6%	13	36%
College of Business and Economics	4	0.0%	0.0%	0.0%	1	25%		0%	3	75%
College of Communication and Information	5	29.0%	0.0%	50.0%	4	80%		0%	1	20%
College of Dentistry	5	16.0%	0.0%	40.0%	2	40%		0%	3	60%
College of Design	2	0.0%	0.0%	0.0%		0%		0%	2	100%
College of Education	4	8.8%	2.5%	15.0%		0%		0%	4	100%
College of Engineering	10	36.6%	5.0%	65.8%	9	90%		0%	1	10%
College of Fine Arts	6	27.8%	16.0%	40.0%		0%		0%	6	100%
College of Health Sciences	7	41.0%	0.0%	92.0%	3	43%	1	14%	3	43%
College of Law	4	16.8%	0.0%	50.0%		0%		0%	4	100%
College of Medicine	304	16.9%	0.0%	97.5%	124	41%	10	3%	170	56%
College of Nursing	3	51.7%	16.0%	87.4%	2	67%	1	33%		0%
College of Pharmacy	31	28.7%	10.0%	98.0%	5	16%		0%	26	84%
College of Public Health	2	12.5%	10.0%	15.0%	1	50%	1	50%		0%
College of Social Work	7	40.0%	40.0%	40.0%	2	29%		0%	5	71%
Graduate School	4	42.5%	25.0%	65.0%	2	50%		0%	2	50%
Other	41	5.0%	5.0%	5.0%	2	5%	2	5%	37	90%
Grand Total	545	23.6%	0.0%	98.0%	219	40%	20	4%	306	56%

Summary and next steps

- Faculty with research effort on the DOE, no matter what their research or creative activity is, need to complete the training or penalties (see next slide) will have to be enacted, we need your help to avoid having this happen.
- If faculty believe they should be exempted from the training, have them go through the process to request exemption.

Potential Penalties

- Grants and contracts: new or non-competing renewal account set-up put on hold until training is completed.
- IRB/IACUC protocols: New protocols returned to PI until RCR training requirement is met and/or untrained personnel are removed from protocols on sponsored projects.
- Suspension of access to institutional funds (start-up, pilot projects, creative activities funding, etc).
- Other possible penalties (and we don't want to go there):
 - Withhold salary or stipend

Data Management Workgroup: Why?

- The federal Office of Research Integrity (ORI), and UK expectations of research data retention and storage, have not been met by respondents in several recent UK research misconduct proceedings. Despite the UK Data Retention Policy there is a lack of retention and/or poor retention and record keeping of research data.
- NIH has issued a new [Final NIH Policy for Data Management and Sharing](#), which will require NIH funded researchers to prospectively submit a plan outlining how scientific data from their research will be managed and shared. On January 25, 2023, the new policy will come into effect and replace the 2003 NIH Data Sharing Policy currently in effect.

Recommendations for a UK RDM task force

The task force should consist of faculty and staff from diverse colleges, positions, and points of view to facilitate fact gathering on research data management, generate ideas and identify tools available or to be developed, and assist in drafting institutional policies.

UK RDM Task force areas to be considered

- Origin of data
- Recordkeeping
- Organization of data
- Storage of data
- Reporting of research data and results
- Sharing and access
- Institutional policies
- Data management standard operating procedures

UK RDM Task force charge

Identify and assess existing practices and needs as related to research data management and stewardship of the following eight topics considering the needs of researchers, research administrators and the institution related to each topic:

1. Origin of data –determine the types of research data that is collected at UK
2. Recordkeeping-examine the options for hardcopy and electronic recordkeeping for research data
3. Organization of data- determine the best practices and approaches related to the naming and organization of files such that data can be easily found, and file versions can be easily distinguished (i.e., file naming conventions, file structures, folder structures)
4. Storage of data-identify and consider the practices related to, and approaches for, the storage of data considering practicality, ease of implementation, security, and stability. This section will inform others who will address Data Center issues across the institution.

RDM task force charge cont'd

5. Reporting of research data and results- identify best practices and approaches that help ensure reported research is an accurate reflection of the original underlying data and that all primary/original data supporting published research are readily available for subsequent examination/use/review
6. Sharing and access- determine the best practices and approaches that ensure collaborators have appropriate access to data and that tracking of data is maintained.
7. Institutional policies- identify needs for UK policies that set standards, practices, and expectations for research data management establishing practices for all research conducted at the institution.
8. Data management Standard Operating Procedures (SOP)- outline practices, approaches, and considerations that should be included in a research data management SOP, recognizing that while data management SOPs will need to be customized for the specific research field/environment, there will be core topics and concepts that should be included in each data management SOP

Overall RDM Task force charge

- Identify and assess existing research data management practices and needs by getting feedback from the UK research community
- Develop practical approaches and resources for the UK research community
- Draft institutional Research Data Management Policies for UK
- Disseminate resources and raise awareness of the practical approaches, institutional policies and resources to the UK research community

Questions/Suggestions?

Thanks!!