Ethics and Compliance

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Illinois Research

The Illinois Research Enterprise is:

• Big
  
  \textit{#33 in country in annual research expenditures}

• Diverse
  
  \textit{Remarkable breadth of research excellence}

• Dispersed
  
  \textit{15 colleges, 8 campus-wide interdisciplinary research institutes}

• Collaborative
Overview

A strong research focus, by many measures

- $642 million in R&D expenditures in FY17
- Routinely lead nation in NSF awards
- Regularly among top 10 in DOE and top 25 in DOD and USDA
- Exceptional success rate for NEH & Guggenheim fellowships
Office of the Vice Chancellor for Research

- Responsibility to ensure research is carried out safely, ethically, and in compliance with campus policies, state and federal laws
- Minimize investigator & institutional risk
Case Summary: Sen, Shiladitya

Shiladitya Sen, The Ohio State University: Based on the report of an investigation conducted by The Ohio State University (OSU) and analysis conducted by the Office of Research Integrity (ORI) in its oversight review, ORI found that Mr. Shiladitya Sen, former graduate student, OSU, engaged in research misconduct in research supported by National Institute of General Medical Sciences (NIGMS), NIH, grant R01 GM083114.

ORI found that Respondent engaged in research misconduct by knowingly and intentionally falsifying and/or fabricating data reported in the following published paper, his Ph.D. thesis, a poster presentation, and his mentor’s grant applications submitted to NIGMS, NIH:

- PNAS 110(11):4261-4266, 2013 (hereafter referred to as “PNAS 2013”); retracted in:
- PNAS 114(37):E7855, 2017 Sep
- poster presented at the Annual Symposium of the Protein Society in 2012 (hereafter referred to as “Poster 2012”)
What is the difference

- **Ethics** = behavior of scientists that is responsible to the public, to your peers, and to yourself

- **Compliance** = following laws, policies, or standard requirements
Your Likely Ethical Issues

- Plagiarism
- Data manipulation
- Data Ownership & Confidentiality
- Collaboration & Authorship
- Conflicts of Interest
Your Compliance Responsibilities

• Your own and other students’ safety
• Animal care and use
• Biological safety

• Follow Protocols and SOPS
• Assess the risks or ASK about what you are doing
Your Responsibilities

• Laboratory Safety
  – Training: yours & students working for you
  – Laboratory Safety Plan
  – Follow SOPs for hazardous materials, processes, and equipment

• Animal Care & Use Protocol
  – Training: AWA regulations & procedures
  – Occupational Health assessment
  – Follow protocols you are using
Your Responsibilities

• Biological Safety
  – rDNA, transgenics, pathogens, toxins
  – Training lab/project specific
  – Follow protocols, SOPs

• Ethics training by your advisor
  – HHS, NSF, USDA funding your assistantship

• State ethics training, Title IX, Clery Act, Financial Conflict of Interest reporting
Reducing your compliance burden

• You are learning to follow rules & processes that you will use throughout your career.

• Treat compliance like your classwork & your research
  – Study & learn the material
  – Organize & plan
  – Think…
Some interesting sites to visit

• VCR website  
  www.research.illinois.edu

• Office of Research Integrity  
  ori.hhs.gov

• National Center For Professional & Research Ethics (here on campus)  
  nationalethicscenter.org
Questions?

Work Hard, Do Great Things!