Responsible Conduct of Research

Mentor / Trainee Responsibilities

Examples of mentor / trainee relationships: faculty advisor and student; senior faculty member and junior faculty member

- Set expectations up front
- Clarify evaluation criteria
- Clear distribution of responsibilities
- Familiarity with standard operating procedures for research team
- Criteria for establishing authorship & ownership
- Awareness of and compliance with RCR requirements

Peer Review

- Responsibility: i) assess project for quality; ii) make judgment regarding importance of research being proposed
- Responsible conduct: i) timely review; ii) constructive feedback; iii) free from personal bias; iv) maintain confidentiality

Publication Practices & Responsible Authorship

- Authors: i) make significant contribution to the research; ii) assume responsibility for data collection and analysis; iii) participate in drafting the publication; iv) approve the final publication
- Improper practices: i) honorary authorship; ii) duplicate publication

Data Acquisition, Management, Sharing & Ownership

Researchers should:

- Be aware of who owns the data
- Use appropriate methods for data collection and analysis
- Use adequate measures for protection of data
- Be aware of data sharing policies, expectations and standards
- Be familiar with requirements for formal agreements such as data use or data transfer agreements

CUNY Intellectual Property Policy: http://www.cuny.edu/about/administration/offices/la.html

Collaborative Science

- Roles & Relationships: i) define each collaborator’s role in the project; ii) ensure common understanding of the research goals; iii) be familiar with each institution’s intellectual property and ownership policies
- Financial Management: i) ensure that all collaborators are in compliance with funding agency’s financial management rules
- Training & Supervision: i) management plan should address training & supervision of all research team members; ii) be familiar with institutional requirements
- Formal agreements may be required: i) Memorandums of Understanding; Material Transfer Agreement; Data Transfer Agreement
- Compliance: management plan should address how compliance with regulatory and institutional requirements will be ensured

CUNY Research Agreements and Signatory Authority: http://www.cuny.edu/research/compliance/Research-Agreements.html

CUNY Research Compliance: http://www.cuny.edu/research/compliance.html

Last Updated: February 2, 2016
Research Misconduct

- Fabrication: making up data or results and recording or reporting them
- Falsification: manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record
- Plagiarism: the appropriation of another person's ideas, processes, results, or words without giving appropriate credit


Conflict of Interest and Commitment

- Financial conflict of interest & sponsor reporting requirements
- Conflict of commitment: i) relationships with individuals or entities; ii) use of resources; iii) honor time commitments that are made

CUNY Conflict of Interest Policy: http://www.cuny.edu/research/compliance/conflictofinterestpolicy.html

Protection of Human Subjects

*Human subject*: a living individual about whom an investigator conducting research obtains i) data through intervention or interaction with the individual, or ii) identifiable private information.

- An institution is considered *engaged* in human subjects research when its employees or agents obtain: i) data about the subjects of the research through intervention or interaction with them; ii) identifiable private information about the subjects of the research; or iii) the informed consent of human subjects for the research.

CUNY Human Research Protection Program: http://www.cuny.edu/research/compliance/human-subjects-research-1.html

Animal Welfare

Humane treatment of animals used in research and educational activities

- 3 R's: i) replacement – absolute & relative; ii) Refinement – minimize/eliminate pain & distress; iii) Reduction
- Review of proposed activity and its approval by Institutional Care and Use Committee at respective CUNY College is required

Guide for the Use & Care of Laboratory Animals: http://www.nap.edu/catalog.php?record_id=12910

Biosafety

- Environmental Health, Safety & Risk Management Policies & Procedures: i) lab safety; ii) use of hazardous materials; iii) health safety; iv) radiation safety
- Institutional Biosafety Committee Review: i) recombinant DNA & gene therapy research; ii) risk group 2+ infectious agent use; iii) use of transgenic animals

CUNY EHS Policies & Procedures: http://www.cuny.edu/about/administration/offices/ehsrn/Policies.html

Export Control

- Controls: i) Commerce Department’s dual use controls covering hardware, software, materials, equipment, technology & technological data that have civilian AND inherent military or defense application; ii) State Department’s defense-based controls covering defense articles and activities specifically designed or modified for defense or military application without a civil equivalent; iii) Treasury Department’s economic embargo controls restrict transactions with certain countries, specifically for our purposes, these include Cuba, Iran, Syria & Sudan
- Prior authorization or license may be required
- Exceptions for fundamental research activities

CUNY Export Control Policies & Procedures: http://www.cuny.edu/research/compliance/Export-Control.html

CUNY Research Compliance: http://www.cuny.edu/research/compliance.html

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