

Responsible Conduct of Research

PROMOTING RESPONSIBLE CONDUCT OF RESEARCH

(KEY ELEMENTS FOR CONSOLIDATING TRUST AND CONFIDENCE BETWEEN RESEARCHERS AND FUNDING AGENCIES)

Agenda

- What is Responsible Conduct of Research
- Agency and Institutional Policies
- Research project elements
- Responsible conduct of research cycle and culture

Research

- Creative work undertaken on a systematic basis in order to increase the stock of knowledge and use this stock to devise new applications (OECD)
- Add your own definition!

Conduct of Research

- All activities that comprise research work

Conduct of Research

- **(Activities in a funded environment:)**
- Funding: using the money responsibly
- Facilities and materials : Good and appropriate use of

Conduct of Research

- **(Activities in a funded environment:)**
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- **Communication:** use appropriate mechanisms, being respectful with others
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- **Collaboration:** share information, knowledge, results, responsibilities

Conduct of Research

- **(Activities in a funded environment:)**
- **Training:** providing environments where people can learn and the use that knowledge in the environment

Responsible conduct of research

- The highest standards of integrity in all aspects of research, including seeking funding, conducting research and reporting results (University of Ottawa)

Responsible conduct of Research

- **(Elements)**
- Research ethics: aware of what's right and what's wrong
- Conflict of interest: know how to manage it

Responsible Conduct of Research

- **(elements)**
- Financial principles: good accounting practices
- Respect: humility, culturally sensitive

Responsible Conduct of Research

- **(elements)**
- Integrity: meet requirements and demonstrate we meet them
- Governance: respect of funders rules

Responsible conduct of research

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- Easier to point out irresponsible research practices when we see them
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Responsible conduct of research

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- Funding agencies maintain mechanisms for identifying irresponsible conduct of research and disclosing such a breach
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- This helps other researchers know what is unacceptable

Responsible conduct of research

- When there is a breach, there is investigation and a report.
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- RCR therefore means doing all that we need to do with ethics and integrity to be able to demonstrate that we are complying with rules and requirements.

2. Agency and Institutions policies

- Lay down laws, rules and regulations
- Key feature of policies is to be able to answer the question from anyone: “can you prove that the research you are carrying out is responsible?”

Agency and Institution policies

- Responsible conduct is governed by different agencies in different countries.
- **The frameworks look at:**
 - Research funding
 - Research work and outputs – documentation and publication

Agency and Institution policies

- Policy frameworks look at:
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 - Process misconduct: how to recognize and how to report
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 - Agencies mainly pass most of the responsibility for compliance to institutions and researchers
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 - There is emphasis on training

Agency and Institution policies

- Funding Agency >>> **Gives funds to** >>>> Institutions >>**host** >> Researchers
- Researcher has obligation to both Funding agency and university
- University provides good working environment to researcher and has image to uphold

Institutional Policies

- As recipient of funds institution is also responsible for conduct of research
- **Policies:**
 - Responsible conduct of research
 - Research integrity
 - Research misconduct

Key project Elements influencing RCR

- Application/proposal writing
 - Meet criteria, accurate
 - Describe as best you can
 - Compliant with rules in force
 - Responsive to needs being funded
- Performance
- Budget and expenses
- Dissemination of results

Key project Elements influencing RCR

- Application/Proposal writing
 - Accurate
 - Reliable
 - Compliant
 - Responsive: being respectful for review process
 - Complete: all info is in the proposal
 - SMART: goals

Key project Elements influencing RCR

- Research performance
 - Do what you said you would do
 - Integrity
 - Results, data, are true, real and yours
 - Compliance to agency rules
 - Communicate: share data with others
 - Management: finance, etc

Key project Elements influencing RCR

- Financial Management
 - Budget development: make realistic
 - Expenditure of funds: track expenditure
 - Accounting and reporting
 - Know and follow financial rules
 - Conflict of interest

Conflict of Interest

- Conflict of Interest
 - Where is it occurring?
 - Researcher vs sponsor, participant
 - Institution vs sponsor, researcher
 - Trainee vs researcher
 - Administrator vs researcher, sponsor, institution
 - Administrator has to manage cross section so there is always perceived conflict of interest.

Conflict of Interest

- Not inherently bad or unethical
- Cannot be avoided
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- Failure to acknowledge and report COI is misconduct

Conflict of Interest

- Mitigation
 - Transparency: acknowledge
 - Perception: deal with it
 - Separation: concerned can step out
 - Document: make it know
 - Compliance: follow laid down approaches to dealing with it.

Elements of project vs RCR

- Dissemination of Results
 - Authorship and acknowledgments: what requirements, rules are there
 - Public access: rules for
 - COI: always present – deal with it
 - Progress: reporting
 - Plagiarism including self-plagiarism
 - Documentation of research output: lab notebooks, repositories, etc

Cycle of Responsible Conduct of Research

- External event triggers need to develop policy
- The policy is then implemented
- The research community is trained/educated on the policy implementation
- Management/administration makes sure everyone is aware of rules/regulations and educated on it.
- Rules/policies are enforced

Cycle of Responsible Conduct of Research

- Learning from enforcement results in more education or modification of policy.

Sustainable culture of Responsibility

- All in the goal of ensuring trust between research players.
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- Rules alone cannot foster responsibility
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- Individuals ultimately responsible for meeting rules: hence focus on sustainable culture of responsibility.

Logical Framework

- Tool for fostering trust between researcher, institution and funder.
- Objectives are clear
- Activities are clear
- Expected results are clear

Responsible Conduct of Research

- **References**
- European code of conduct and research integrity