Research Administration Network Agenda

SUB Lobo A&B

September 11, 2018

9:00am to 10:00am

PRE/POST AWARD ITEMS:

1. Research integrity/ethics training (Bill Gannon)

2. COI Check at proposal stage

3. Chrome River
   o International Travel – Pre approvals mandatory
   o International Travel – Quick Review of Fly America Act
   o Shared responsibilities

4. Audit updates – NSF-OIG report is available

5. Shared responsibilities
   o foreign travel
   o Proposal submissions

6. Fabrication Guidelines - Account 9060
42 Code of Federal Regulations (CFR) Parts 50. 93

- Research misconduct means fabrication, falsification, or plagiarism in proposing, performing, or reviewing research or in reporting research results. Fabrication is making up data or results and recording or reporting them. Falsification is 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 is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit. Research misconduct does not include honest error or differences of opinion. Section 93.03.

[URL for research misconduct data]

Effective January 2010/2013

- NSF (August 2009)
  [URL for NSF notice]

- NIH (November 2009)
  [URL for NIH notice]

- NIFA (February 2013)
  [URL for NIFA notice]

U.S. Department of Agriculture (USDA)/National Institute of Food and Agriculture (NIFA) (February 2013) proposed project definition. "Project extends to students, graduate students, postdoctoral researchers, and any staff involved during 2013.

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**Case Statistics**

**Number of IHRC Allegations**

**What is Research Misconduct?**

- Misuse of data, fraud, misleading statements, plagiarism

**2006**

<table>
<thead>
<tr>
<th>Year</th>
<th>2006</th>
<th>2007</th>
<th>2008</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Total</strong></td>
<td>120</td>
<td>150</td>
<td>180</td>
</tr>
<tr>
<td><strong>Falsification</strong></td>
<td>40</td>
<td>50</td>
<td>60</td>
</tr>
<tr>
<td><strong>Fabrication</strong></td>
<td>30</td>
<td>40</td>
<td>50</td>
</tr>
<tr>
<td><strong>Plagiarism</strong></td>
<td>50</td>
<td>60</td>
<td>70</td>
</tr>
</tbody>
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**Agenda**

- Who can participate?
  - Scientists, scholars, professionals in research
- Registration:
  - Contact HRD Programs:
    - 711-300-0000
- Effective Date:
  - 4 Jan 2010

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<table>
<thead>
<tr>
<th>Agenda Item</th>
<th>Description</th>
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</thead>
<tbody>
<tr>
<td><strong>Who can participate?</strong></td>
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<td><strong>Registration</strong></td>
<td>Contact HRD Programs: 711-300-0000</td>
</tr>
<tr>
<td><strong>Effective Date</strong></td>
<td>4 Jan 2010</td>
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<tr>
<td><strong>Frequency</strong></td>
<td>Weekly, biweekly, or as needed</td>
</tr>
<tr>
<td><strong>Panel</strong></td>
<td>Two to face panel</td>
</tr>
<tr>
<td><strong>Subject Matter</strong></td>
<td>Complete review by either HRD or ethics</td>
</tr>
<tr>
<td><strong>What is Research Misconduct?</strong></td>
<td>Misuse of data, fraud, misleading statements, plagiarism</td>
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</tbody>
</table>

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**Notes**

- [URL for policy information]
- [URL for HRD program]

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**Support:**

- [URL for support]

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**Conclusion:**

- [URL for conclusion]

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**Sponsor:**

- [URL for sponsor]
UNM Research Ethics

Core areas of instruction:
- Conflict of interest and commitment
- Ethical use of human and animal subjects in research
- Authorship and publication
- Data acquisition, management, ownership, and sharing - reproducibility
- Peer review
- Mentorship and mentor relationships
- Research misconduct (plagiarism, fabrication, falsification) and whistleblower ethics
- Collaborative research, including with industry
- Scientists as responsible members of society.

It's a Process

- PIs "plan" for ethics training once grant is awarded
- SPS notifies PI of award & responsibilities
- Identify and recruit graduate students (mostly) to ethics education offerings
- Teach RCR content
- Award certificates; 4 year update Banner certification complete
- Administer: Update compliance records and cycle around to recruit - continuous process

- Our services include:
  - Certification
  - Responsible Conduct of Research (RCR) course and certification
  - Consultation
  - Consultation to individual or departmental committees
  - Instruction
    - In-person presentations for student, faculty, and staff of research groups and coordination with research units
    - Local seminars / workshops to support staff and students
  - Research on Research Ethics
    - Staff are required to practice "deep listening" and effective RCR instruction especially in non-scientific and non-academic contexts
  - Guidance
    - Understanding faculty and research ethics is the creation of their own discipline-specific
    - Compliance
    - Training of students who are supported by federal funds requiring RCR certification
  - Compliance
    - Student training on human and animal ACRB committee, and compliance with ethical research
  - Marketing
    - Collaboration with OAR on ongoing workshops, courses, or symposia on research ethics and
    - Opportunities for participation
  - Collaboration
    - Actively seek other graduate school and research center programs to leverage outreach on research ethics.

Bottom Line

- Anyone supported by fed funds (currently NSF, NIH, USDA) must be certified in research ethics
- Within 1 year, ~8 hrs disc led; content areas, face-to-face
- Many modes of getting RCR, ethics education: classes, EIC, EAC, PAW workshops, special sessions, remotely, etc
- Encourage ALL graduate students to complete as an important tool & ALL faculty to participate
FLY AMERICA ACT

• Federal travelers are required to use U.S. flag air carrier service for all air travel and cargo transportation services funded by the U.S. government.

• Incorporated into the Federal Acquisition Regulations (FAR) at Subpart 12.503
U.S. FLAG AIR CARRIERS

- Alaska Airlines (AS)
- American Airlines (AA)
- Delta Airlines (DL)
- Frontier Airlines (F9)
- Hawaiian Airlines (HA)
- JetBlue Airways (B6)
- Southwest Airlines (WN)
- Spirit Airlines (NK)
- United Airlines (UA)
EXCEPTIONS TO FLY AMERICA ACT

For travel between the U.S. and another country:

• If a U.S. flag air carrier offers nonstop or direct service (no aircraft change) from your origin to your destination, you must use the U.S. flag air carrier service unless such use would extend your travel time, including delay at origin, by 24 hours or more.

• If a U.S. flag air carrier does not offer nonstop or direct service (no aircraft change) between your origin and your destination, you must use a U.S. flag air carrier on every portion of the route where it provides service unless, when compared to using a foreign air carrier, such use would:
  • Increase the number of aircraft changes you must make outside of the U.S. by 2 or more; or
  • Extend your travel time by at least 6 hours or more; or
  • Require a connecting time of 4 hours or more at an overseas interchange point.
EXCEPTIONS TO FLY AMERICA ACT

For travel between two points outside the U.S., and a U.S. flag air carrier provides service between origin and destination:

• You must always use a U.S. flag carrier for such travel, unless, when compared to using a foreign air carrier, such use would:
  • Increase the number of aircraft changes you must make en route by 2 or more; or
  • Extend your travel time by 6 hours or more; or
  • Require a connecting time of 4 hours or more at an overseas interchange point.
EXCEPTIONS TO FLY AMERICA ACT

Open Skies Agreements

• Current agreements:
  • U.S. & European Union
  • U.S. & Switzerland
  • U.S. & Australia
  • U.S. & Japan

• Does not apply to transportation obtained or funded by the Secretary of Defense / the Secretary of a military department
CODE SHARE

• Purchase a ticket from one carrier but fly on the air carrier of another airline.
  • “U.S. Air Carrier flight XXXX operated by Foreign Air Carrier.”

• It doesn’t matter the name on the plane, but the name on the ticket must be a U.S. carrier.

• Example:
  • Delta Airlines (DL) ticket, flight operated by Korean Air (KE).
    • DL 777 operated by KE 852
COST AND CONVENIENCE

Q: May I travel by a foreign air carrier if the cost of my ticket is less than traveling by a U.S. flag air carrier?

A: No. Foreign air carrier service may not be used solely based on the cost of your ticket.

Q: May I use a foreign air carrier if the service is preferred by or more convenient for my agency or me?

A: No. You must use U.S. flag air carrier service, unless you meet one of the exceptions in §301-10.135, 301-10.136, or 301-10.137 or unless foreign air carrier service is deemed a matter of necessity under §301-10.138.
Must I provide any special certification or documents if I use a foreign air carrier?

- Yes, you must provide a certification, as required in §301-10.142 and any other documents required by your agency. Your agency cannot pay your foreign air carrier fare if you do not provide the required certification.

What must the certification include? (§301-10.142)

- The certification must include:
  - Your name;
  - The dates that you traveled;
  - The origin and the destination of your travel;
  - A detailed itinerary of your travel, name of the air carrier and flight number for each leg of the trip; and
  - A statement explaining why you met one of the exceptions in §301-10.135, 301-10.136, or 301-10.137 or a copy of your agency’s written approval that foreign air carrier service was deemed a matter of necessity in accordance with §301-10.138.
BEST PRACTICES

• If you are unsure of compliance with Fly America Act, you are encouraged to consult with C&G prior to finalizing international travel arrangements.

• The Fly America Act certification requirements can be achieved in Chrome River, and any exceptions that apply must be documented in the compliance warning that generates.

  • NOTE: You must properly select International Travel in the airfare tile for the compliance warning for Fly America Act to generate.

• Principal Investigators are responsible for reviewing the award’s terms and conditions for any special requirements applicable to foreign travel.

• Costs for foreign air travel that do not comply with the Fly America Act, or the exceptions, will be disallowed on the Federal award.
REFERENCES
