

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
 - International Travel – Pre approvals mandatory
 - International Travel – Quick Review of Fly America Act
 - Shared responsibilities
4. Audit updates – NSF-OIG report is available
5. Shared responsibilities
 - foreign travel
 - Proposal submissions
6. Fabrication Guidelines - Account 9060



Responsible Conduct of Research: Supporting the Notion that Ethics is Good for You

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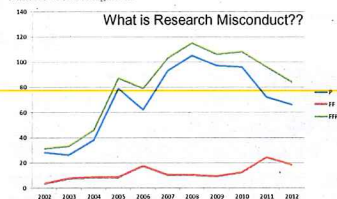
42 Code of Federal Regulations
(CFR) Parts 50, 93

▶ 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 93.103.

UNM's POLICY E-40 is our process to follow for research misconduct claim

Case Statistics

Number of RM Allegations



Data and slide from "NGF CIO Stories from the Case Files" National Science Foundation, Office of the Inspector General. Dr. Jankovsk, Director, Research Integrity and Administrative Services, jankovsk@nsf.gov, 1360

Effective January 2010/2013

- ▶ NSF (August 2009)

<http://edocket.access.gpo.gov/2009/E9-19930.htm>

- ▶ NIH (November 2009)

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-10-019.html>

- ▶ NIFA (February 2013)

http://www.nsf.gov/pubs/policydocs/rtc/agency specifics/nifa_213.pdf

U.S. Department of Agriculture (USDA) National Institute of Food and Agriculture (NIFA) (February 2013) mandated program directors, faculty, undergraduate students, graduate students, postdoctoral researchers, and any staff receive training (RCR)

Agency	NSF	NIH	NHA
Who must participate?	Undergraduate students, graduate students, and postdoctoral researchers who receive NSF support to conduct research	Trainees, fellows, participants, and scholars (list F04page 2 previous page)	Program directors, faculty, undergraduate students, graduate students, postdoctoral researchers, and staff participating in research project
Requirement	<ul style="list-style-type: none"> • Institutional RCR Plan • Documentation and certification • Standard offerings 	<ul style="list-style-type: none"> • PI status plan in proposal • Institutional certification • Standard offerings 	<ul style="list-style-type: none"> • Institutional oversight • Documentation of training • Can be on- or off-campus
Effective Date	4 Jan 2010	29 Jan 2010	Feb 2013
Frequency	Within 1 yr of an award made to USAID; as needed	Early in each career stage or every 4 years	When supported by funding
Format	Face-to-face preferred	Face-to-face, 8 h min	CITI-RCR with facilitated discussion
Subject Matter	Complete RCR as detailed by Office of Research Integrity (ORI)	Complete RCR as detailed by Office of Research Integrity (ORI)	Complete RCR including: authorship and plagiarism, data and research integrity, and reporting misconduct
What to Submit	Provide standard RCR training in narrative answering RCR writing in narrative answering RCR section	Provide standard writing in narrative addressing section	Provide details how RCR equipment will be used in narrative

UNIVERSITY OF NEW MEXICO
SCIENTIFIC INTEGRITY PLAN

For research, training, and fellowship awards funded by the National Science Foundation
National Institutes of Health, and National Institute of Food and Agriculture
Men and Women Corporate

With the *Scientific Integrity Plan* was initially approved in May 2006. Since then there have been a number of institutional and regulatory changes that may give cause for optimism. This update includes more detail about the role of the new generation of graduate students and their supervisors. Clarification is provided about services and expectations of Data. Detail is provided about recommendations that may be used to fast-track new DCR submissions. Detail is also given about the new IRIS update, rapid to REACT, in new ARISE. Two additional forms of DCR were added – financial management and research ethics. The new IRIS update is now available. The new ARISE update is now available. The Department of the USDA – the National Institute of Food and Agriculture – now requires RCR reports of all grant holders. Electronic submission tools (iThenticate and iTurnitin) are now available for researchers to use in a pre-submission way. Letters of endorsement of this Plan are provided from the D. of the Social Studies, Pre and Postgraduate. This update is signed by the current Vice Provost of Research.

PURPOSE

To achieve excellence in research and maintain public trust in research institutions, an environment that supports and fosters the responsible conduct of research (RICH) is critical. As part of its commitment to research with no exception, in 2004, the University of Texas Medical Branch (UTMB) established a Responsible and Ethical Conduct of Research (RECR) program. The program is based on a sound research for RICH education and certification of RICH institutions to campus. To provide greater exposure and cultural education, the program is now listed in Graduate Studies as Academic Integrity and Research Ethics (AIRE). AIRE is guided by the Academic Integrity and Research Ethics Advisory Committee (AIRE-AC), composed of faculty and senior research leaders with experience in laboratory research ethics. This Scientific Integrity Policy (SIP) establishes guidelines and appropriate standards for RICH education and compliance with the National Commission on Bioethics (NCRB) and the National Commission on the Protection of Human Subjects of Research (NCPHR) and the National Commission on the Protection of Human Subjects of Research (NCPHR).

MCGRAW

Section 7009 of the America COMPETES Act of 2007, 42 USC § 1862n-1, requires institutions applying for NSF financial assistance, in whole or in part, to certify that they have a plan to provide appropriate RCR training and oversight to undergraduate, graduate students, and postdoctoral researchers. On August 20, 2009, NSF issued regulations implementing § 7009 and set an effective date of January 1, 2010 for institutions to begin complying with the new RCR requirement (<http://www.nsf.gov/pubs/2009/2009-08/2009-08rcr.htm>).



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
- Mentoring and mentee relationships
- Research misconduct (plagiarism, fabrication, falsification) and whistleblower ethics
- Collaborative research, including with industry
- Scientists as responsible members of society.

Cartoon: A stick figure asks, "WHICH WAS PROBABLY ETHICAL, RIGHT?" to two other stick figures. One responds, "FACEBOOK SHOULDN'T ALLOW ANYONE TO CONDUCT UNETHICAL PSYCHOLOGICAL RESEARCH. THEY SHOULD ONLY MAKE THOSE DECISIONS BASED ON... HONOR! THEY WERE DOING IT BEFORE." The other responds, "WHICH WAS PROBABLY ETHICAL, RIGHT?"

It's a Process

Students/Post-docs: Encouraged by PI/admin, take class or workshop; receive certificate as proof of completion

Administratively: Update compliance records and cycle around to recruit – continuous 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

Academic Integrity & Research Ethics

UNDERSTANDING PLAGIARISM

LEARN WHAT CONSTITUTES PLAGIARISM AND HOW YOU CAN AVOID IT IN YOUR OWN WORK

ABOUT	REDEFINING MISDEEDS
CONTACT US	WEB CERTIFICATION
FOCUSSED + WORKSHOPS	REVIEW SERVICES
PARTS + PAGES	UNM POLICY + ACADEMIC INTEGRITY PLAN
PAGE	VIDEO TUTORIAL

Our services include:

- **Certification**
 - Responsible Conduct of Research (RCR) courses and certification
- **Consultation**
 - Confidential individual or departmental consultations
- **Instruction**
 - Tailored presentations for students, faculty, staff, or research groups and coordination with research methods course instructors to include AIRE into their syllabi
- **Research on Research Ethics**
 - Staff are involved in studies of "deep learning" and effective RCR instruction especially in cross-cultural and "normal misbehavior" contexts.
- **Guidance**
 - Development and guidance for faculty (and other instructors) in the creation of their own discipline-specific academic integrity and research ethics curriculum
- **Compliance**
 - Tracking of participants who are supported by federal funds requiring RCR certification
 - Keep informed on issues of human and animal institutional committees; assist as needed with issues of research misconduct.
- **Marketing**
 - Communication with UNM community on upcoming workshops, courses, or symposia on research ethics and opportunities for certification
- **Collaboration**
 - Actively seek other graduate student and researcher service programs to encourage outreach on research ethics.

Bottom Line

RCR Certified by Class/Workshop 2017-2018

Offerings over 1-Year

Requirement Summary

- 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 OVERVIEW

Presented by Jeremy Hamlin
Contract & Grant Accounting



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](#).

DOCUMENTATION AND CERTIFICATION

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

<https://www.gsa.gov/policy-regulations/policy/travel-management-policy/fly-america-act>

<https://www.gsa.gov/travel/plan-book/transportation-airfare-rates-pov-rates-etc/airfare-rates-city-pairs-programs/resource-library/code-share-fact-sheet>