

# Research Ethics and Integrity

## Result in Responsible Research

*Quality education is a function of professional and ethical conduct of faculty and students.*

### **Workshop Purpose:**

An overview of responsibilities of researchers in conducting research, interacting with colleagues, and complying with University policies and regulations of external sponsors as it relates to ethics and responsible conduct of research.

### **Global Perspective on Research Integrity**

- First World Conference on Research Integrity: Fostering Responsible Research  
September 2007; Lisbon Portugal  
European Science Foundation  
Office of Research Integrity  
US Dept. of Health and Human Service
- No official universal definition for research misconduct, conflict of interest, plagiarism, etc. that describes acceptable or unacceptable research practices
- Even when definitions are similar, implementation polices vary widely from country to country, or even within a country from organization to organization.
- Individuals need to be aware of global and national perspectives and knowledgeable of local roles and expectations.

### **Elements in University Research Environment**

Professional Scholars and Aspiring Scholars

Community's Purpose:

Learning, create new knowledge, develop new insights or interpretations of existing knowledge, disseminate information or ideas for the benefit of peers and the general public

New and innovative ideas

- may produce extensive professional interest,
- may produce recognition or credit in the scholar's discipline, and/or
- potential for producing commercial interest and financial gain.

These outcomes may be motive for some scholars to violate acceptable standards in the responsible conduct of research.

Academic and personal perspectives of scholars

may differ and result in interpersonal conflicts that do not help the community achieve common goals.

## **TU Policy: Ethical Conduct in Academic Research & Scholarship**

Misconduct in research and scholarship is inappropriate behavior by members of the University community. Allegations of research misconduct will be handled according to the policies and procedures outlined in the policy. Go to [www.utulsa.edu/research/](http://www.utulsa.edu/research/) then to Policies, Procedures and Guidelines, and finally to Ethical Conduct in Academic Research & Scholarship.

### **Research Integrity Categories**

Core Research Misconduct

Fabrication

Falsification

Plagiarism

Human Subjects

Data Collection and Management

Conflict of Interest

Intellectual Property

Authorship and Publication Practices

Collaboration

Peer Review

Compliance with Regulations

### **Human Subjects Research**

Psychology

Speech Pathology

Biology

History

Business

Anthropology

Education

English Language

& Literature

Contact Dawnett Watkins or Debbie Newton in the Research Office: 631-2714

Institutional Review Board (IRB)

For policy, go to <http://www.utulsa.edu/research/> then to Human Subjects

Compliance.

### **Data Collection and Management**

The University is accountable for maintenance and availability of primary research data (lab notebooks, electronic files, instrument printouts, etc.) created or collected by University researchers/scholars. Hence, both the University and researcher/scholar have responsibilities and rights concerning access, use, and maintenance of original research data. Some data may be subject to confidentiality requirements.

Availability - Why is this an issue?

- External sponsors of the research, federal or state agencies, or journals or colleagues in the field may legally be entitled to review the data after publication or dissemination of results.
- Individual researchers within a group investigation have a right to access data gathered by all members of the group or research team.
- If there are allegations of research misconduct, the University may need to review the integrity of the data.
- The University may need to respond to questions about accuracy and authenticity of data, to comply with laws and regulations related to the conduct of research.

What needs to be done?

- Accurate and appropriate research records are critical.
- Data must be archived for at least three years after the submission of the final project report or publication, whichever occurred last.

*Falsification of data is not tolerated. It may result in the University losing federal funding. Faculty or students may face sanction or dismissal.*

When leaving the University:

- When students leave the University, they may take a copy of the research data on which they worked, but the original data remains the property of the University and is given to their faculty supervisor.
- When faculty members leave the University, they are entitled to retain copies of the original data they generated, however the original data remains the property of the University and is retained by the Vice President of Research or designee.

## **Conflict of Interest**

Discuss any issues with your advisor and contact the Graduate School.

## **Intellectual Property**

The University claims all intellectual property generated by students, faculty, and staff with University resources.

For policy, go to [www.utulsa.edu/research/](http://www.utulsa.edu/research/) then to Policies, Procedures and Guidelines, and finally to Research and Intellectual Property Policy.

- The University incurs expenses associated with intellectual property for patenting, such as legal fees, marketing and licensing costs, etc.
- After TU recovers its costs, the inventors may share in the revenue.
- Disclose to the University of Tulsa Intellectual Property Committee any ideas that may be patentable prior to any public disclosure, such as a presentation at a professional meeting or submission of a manuscript for publication.
- If public disclosure occurs prior to submission of a patent application, all international patent rights are lost. Only the U.S. has a one-year window after public disclosure that is still available for submission of a patent application.
- Discuss with your advisor if you think you have a patentable idea, and contact Janet Haggerty, Chair of the Intellectual Property Committee.

## **Authorship**

*The prestige of scholars is often tied to their publications.*

Typical criteria:

- Substantial participation in conception and design of the study or analysis and interpretation of data
- Substantial participation in the drafting of the manuscript or in the substantive editing of the manuscript
- Final approval of the version of the manuscript to be published

## Acknowledgements:

Contributions that do not justify authorship

## Senior Author:

- Leads a study and makes a major contribution to the work.
- At the onset of a project there should be open discussion about authorship and expectations of the faculty of the student. It is not unusual that as projects proceed the authorship order may need to be adjusted.

## Accountability:

Every author is responsible for the integrity of the research being reported.

## Plagiarism:

Taking another person's ideas, processes, results, or words without giving appropriate credit, including those obtained by confidential review of others' research proposals and manuscripts. Plagiarism may result in dismissal at TU.

## NIH Publication Requirements:

- Electronic versions of final, peer-reviewed manuscripts that are accepted for publication and are based upon research funded by the National Institutes for Health (NIH) are required to be submitted by the authors to the National Library of Medicine's PubMed Central.
- The link to the NIH policy regarding public access to publications that result from NIH funded research is  
<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-08-033.html>

*Much of this workshop is based upon information and examples gleaned from Michigan State University's website: [www.msu.edu/user/gradschl/integrity.htm](http://www.msu.edu/user/gradschl/integrity.htm)*

## Useful References

*“OECD Report on Best Practices for Ensuring Scientific Integrity and Preventing Misconduct” at:*

<http://www.oecd.org/dataoecd/1/26/14116226.pdf>

Michigan State University's Research Integrity website:

<http://grad.msu.edu/integrity.htm>

For other information related to research integrity visit the Office of Research Integrity website:

<http://ori.hhs.gov>.

and in particular see the publication

“ORI Introduction to RCR” at:

[http://ori.dhhs.gov/publications/ori\\_intro\\_text.shtml](http://ori.dhhs.gov/publications/ori_intro_text.shtml)