

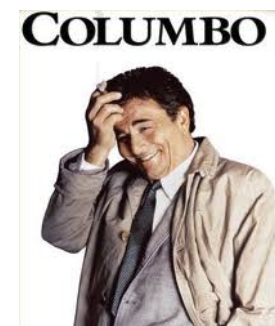
# Responsible Conduct of Research and Research Compliance

Discussion led by  
Robert Nobles, DrPH, MPH, CIP  
Assistant Vice Chancellor for Research

# The Age of Enforcement

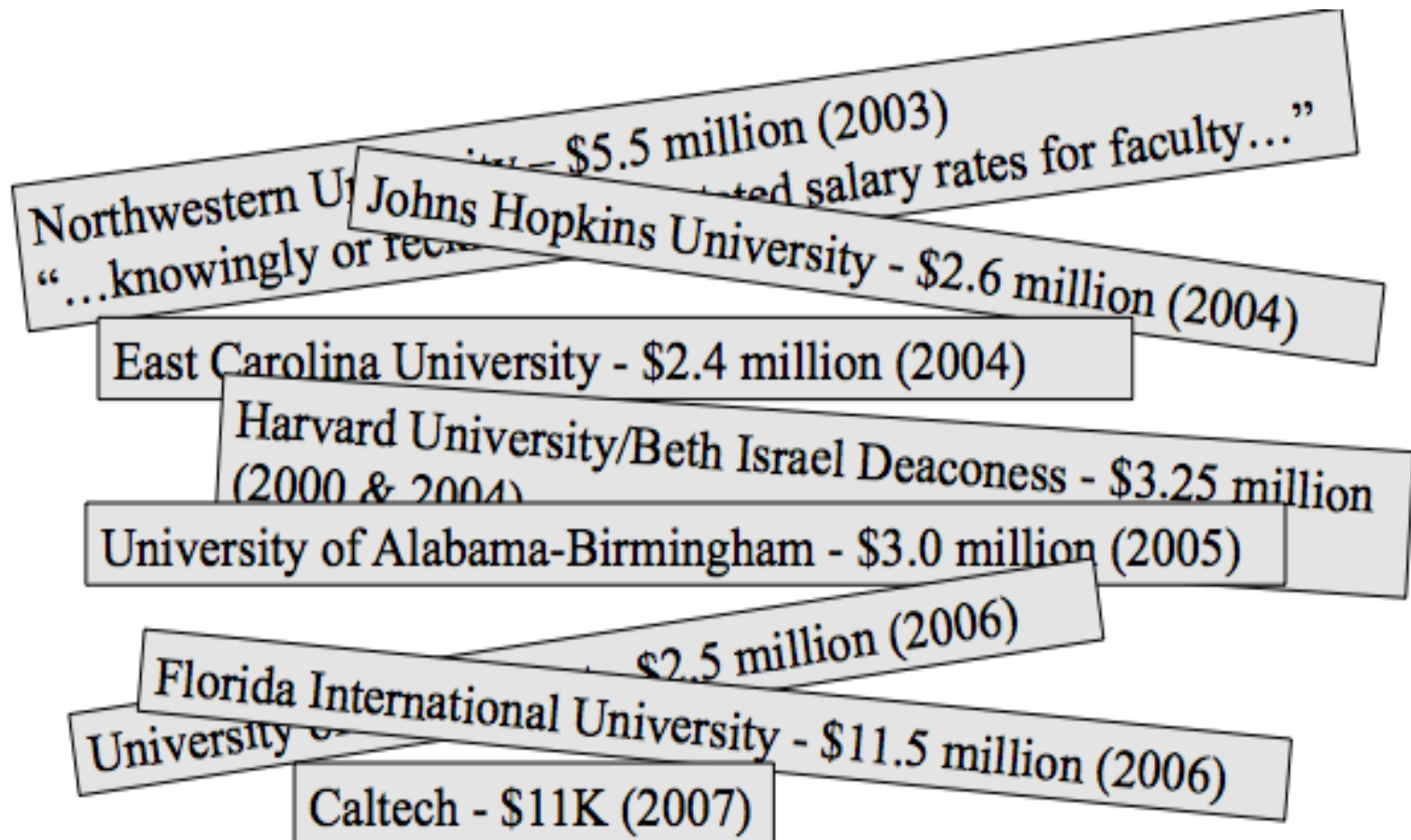
*Era of Compliance Process -*  
Previous ~50 years of research compliance focused on development of compliance infrastructures and education of researchers.

*Age of Compliance Enforcement - “I like to call this the age of enforcement... There is no longer any question about what the rules are, there is no longer any forgiveness of any significant amount in the system for lax enforcement, for failure to comply.”* (Kathleen Merrigan, Secretary of Agriculture, April 6, 2010)



# Regulatory Agencies Levy Fines

## The beginning



## “Scientist Behaving Badly”, Nature 2005

Top Ten Behaviors	Percent*
Falsifying research data	0.3%
Ignoring major aspects of human subjects requirements	0.3%
Not properly disclosing involvement in firms whose products are based on one's own research	0.3%
Relationships with students, research subjects or clients that may be interpreted as questionable	1.4%
Using another's ideas without obtaining permission or giving due credit	1.4%
Unauthorized use of confidential information in connection with one's own research	1.7%
Failing to present data that contradicts one's own previous research	6.0%
Circumventing minor aspects of human-subject requirements	7.6%
Overlooking others' use of flawed or questionable interpretation of data	12.5%
Changing the design, methodology or results of a study in response to pressure from a funding source	15.5%

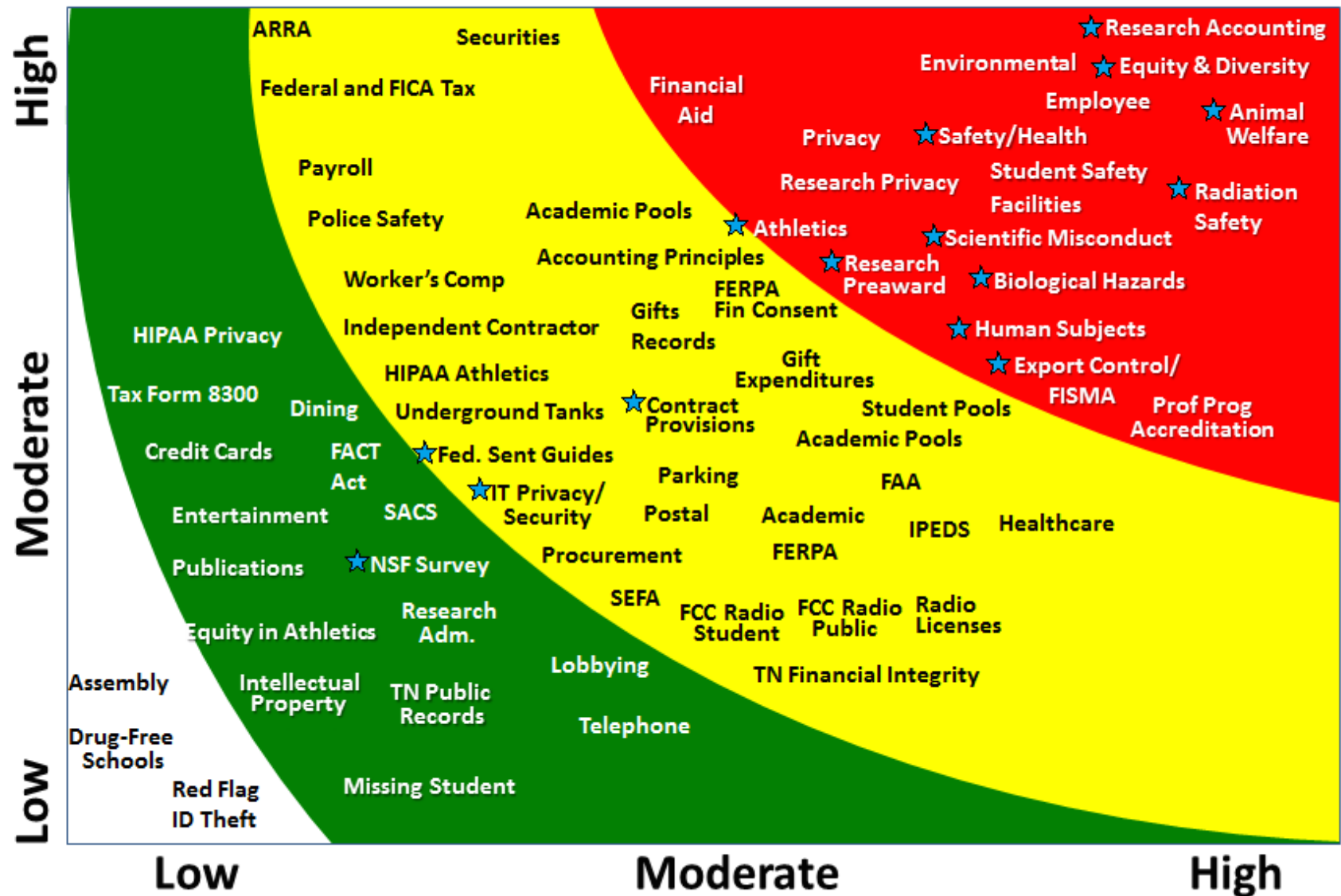
Other behaviors	Percent*
Publishing the same data or results in two or more publications	4.7%
Inappropriately assigning authorship credits	10.0%
withholding details of methodology or results in papers or proposals	10.8%
Using inadequate or inappropriate research design	13.5%
Dropping observations or data points from analyses based on a feeling they were inaccurate	15.3%
Inadequate record keeping related to research projects	27.5%

\* % who did this in previous 3 years

Martinson, Anderson and deVries. Nature 2005 435:737-738

# Compliance Heat Map

★ = Indicates areas that identified significant issues and developed plans of action.

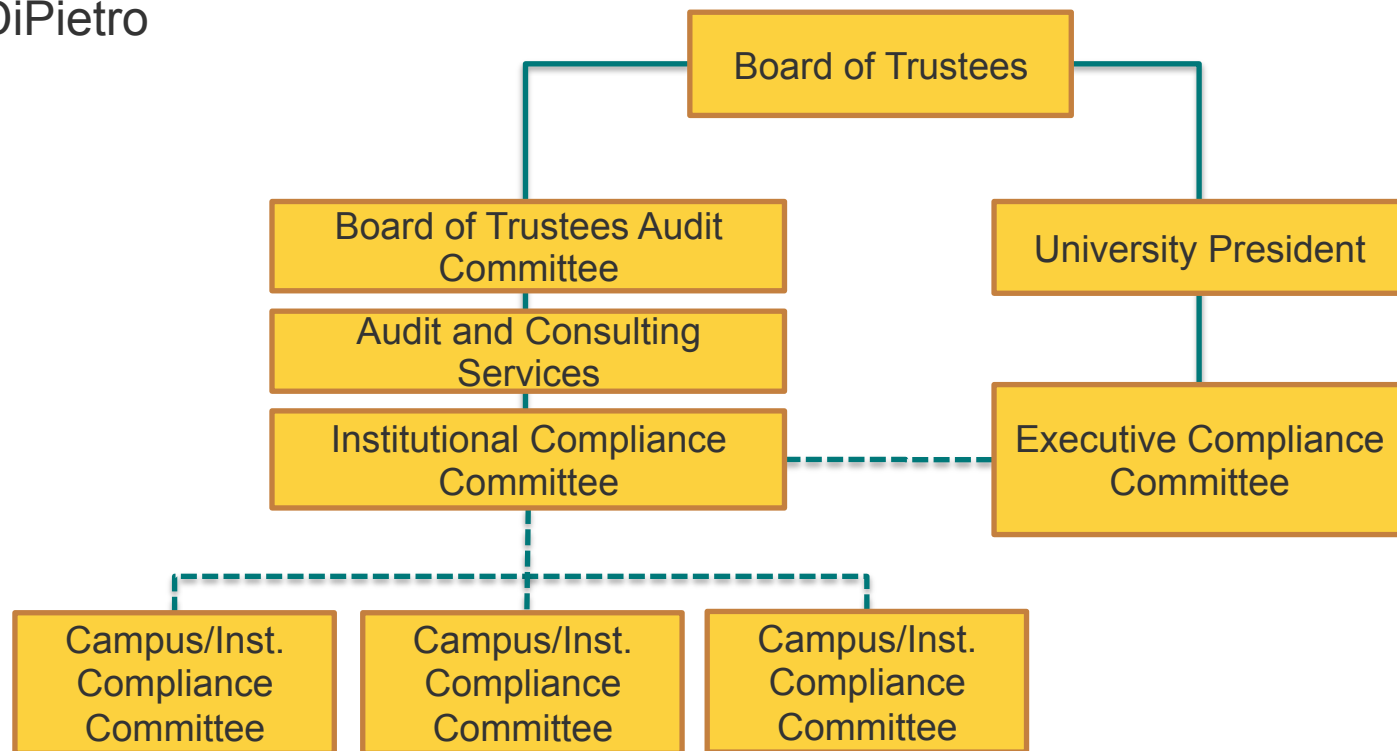


Financial Impact

Operational Impact

*In order to fulfill our mission of serving the people of Tennessee and beyond through the discovery, communication and application of knowledge, we must be committed as a statewide workforce to promoting responsible and ethical behavior in everything we do.*

— University of Tennessee President, Dr. Joe DiPietro





## Responsible Conduct of Research

Encouraging responsible and ethical conduct of research critical for scholarly excellence, as well as building public trust during our quest for new knowledge.

- Professional Conduct in the Field of Research (“Professionalism and Integrity”) include:

- Protection of Human Research Subjects (OHRP)
- Care and Use of Research Animals (OLAW)
- Research Misconduct (ORI)
- Conflicts of Interest and Commitment
- Data Acquisition, Management, Sharing and Ownership
- Publication Practices, Responsible Authorship
- Mentor / Trainee Responsibilities
- Peer Review
- Collaborative Science
- Export Control
- Grant and contract compliance
- Laboratory Safety



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Brian Ranger



Sonya Sullivan



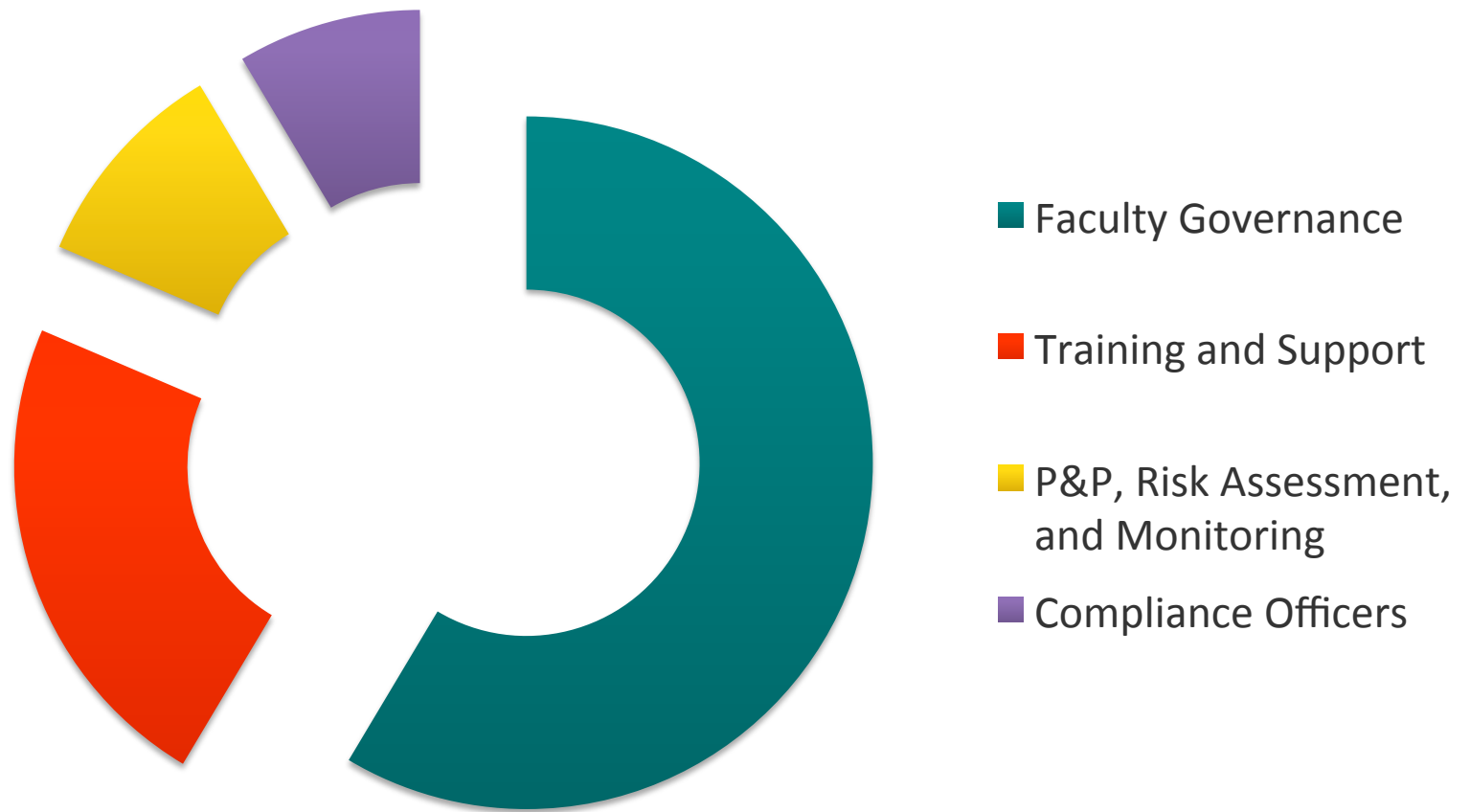
Dairin Malkemus



Marsha Smith

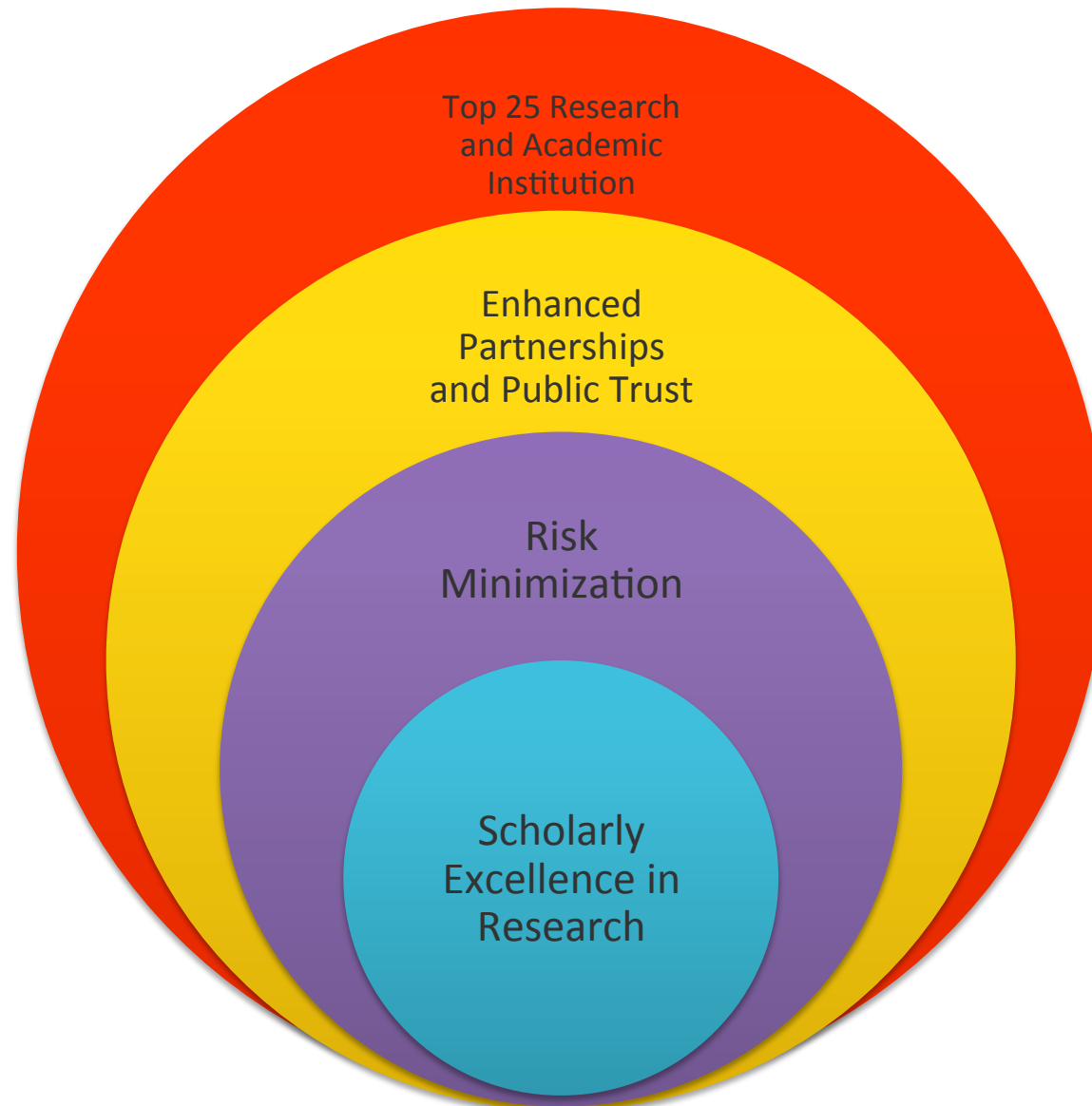
# RCR Program Components

## Shared Accountability Model

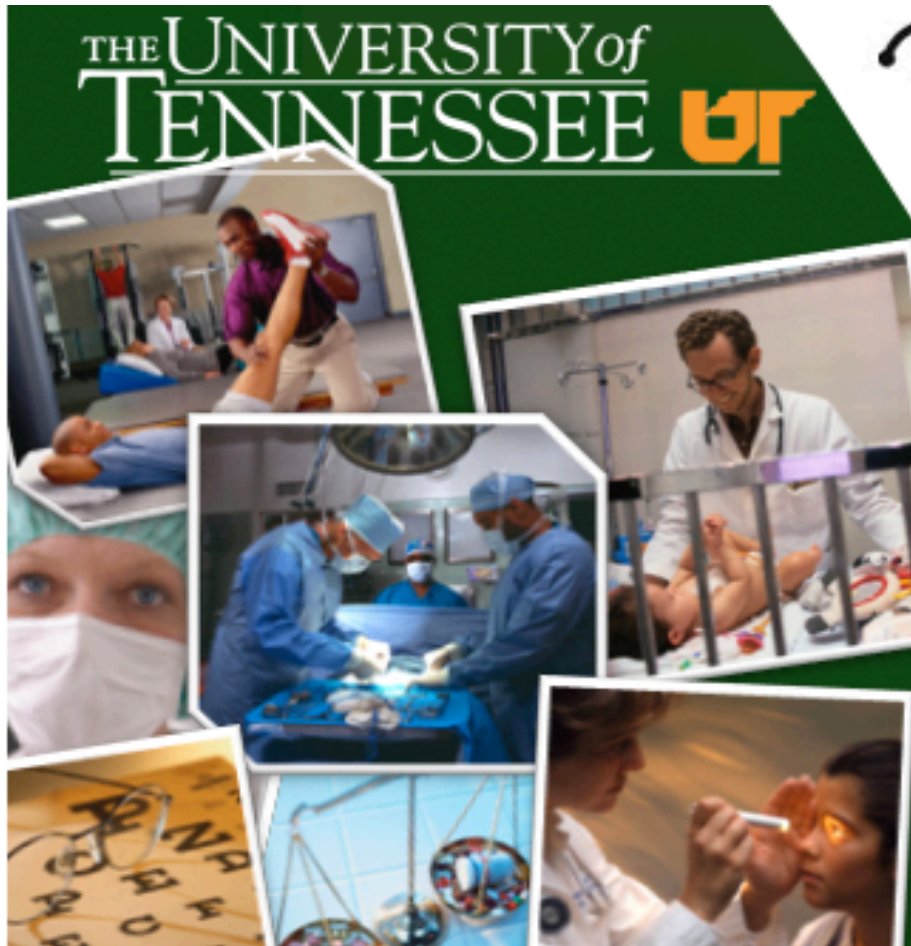




# RCR Program Outcomes



# Newest Initiative



**User ID:**

**Password:**

Log In

<https://ris01.uthsc.edu>

# In Closing



THE UNIVERSITY OF TENNESSEE, KNOXVILLE  
**BIG ORANGE**  
**UT BIG IDEAS**

**TOP 25**