



## ORI Mission:

- Identifying compliance risks in our research practices and communicating those risks to the research community;
- Partnering with the research community in innovative and effective ways to minimize and manage research risks;
- Educating the research community with respect to appropriate business practices related to the conduct of research at Northwestern University; and
- Monitoring and correcting non-compliance in accordance with University and federal

## ORI Staff

Lauran Qualkenbush  
Director  
Research Integrity Officer

Beth Irwin  
Research Training Manager

Yasmeen Khan  
Administrative Assistant III

Michelle Stallionis  
Senior Compliance Specialist

## International Collaboration Enhances RCR Training

Northwestern's Office for Research Integrity (ORI) is dedicated to the sharing of best practices. In support of this aim, ORI was pleased to be contacted by a South Korean group whose objective was to benchmark and investigate US research ethics programs. The Korea Institute of Human Resources Development in Science and Technology (KIRD) is a public research institute supported by the South Korean government that sent 3 delegates to visit Northwestern, the University of Chicago and the University of Wisconsin-Madison to discuss research ethics and responsible conduct of research (RCR) training. These delegates represent a team of six individuals within KIRD who are working to create guidelines for all of South Korea that will impact research ethics programs for more than 30,000 principal investigators across various disciplines.

During their visit on December 18, 2014, KIRD delegates spent the day with various content experts and RCR instructors to discuss how Northwestern conducts RCR training. The discussions provided insight into the Northwestern perspective and RCR instructors shared many resources, including online RCR modules developed by NUCATS. Based on their feedback, the KIRD team left with a better understanding of best practices for developing RCR curriculums, recent trends and issues in research ethics and ethics education, as well as policy/guideline resources. ORI looks forward to hearing how KIRD's visit to Northwestern will influence RCR training for South Korean researchers.



## Did You Know?

Beginning May 18<sup>th</sup> use of the Electronic Sponsored Projects Request (ESPR) application is mandatory for all existing request types available in NU's system. Visit the Office for Sponsored Research's website for more information about the various types of requests available online and ESPR assistance:

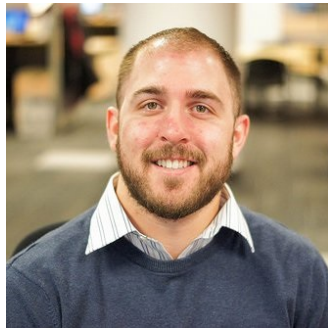
<http://osr.northwestern.edu/resources/espr>

In accordance with the Affordable Care Act (ACA), beginning 1/1/2015 all new independent contracts must be pre-approved by HR before a vendor code is requested. Completion of an Independent Contractor Questionnaire is now required as a new first step. Visit the ASRSP website for further details about this process:

<http://www.northwestern.edu/asrsp/expenses/consultants.html>

A new Anti-Bribery Policy was recently issued, providing guidance to departments and schools regarding bribery and other improper payments in conduct of NU business operations as required by the Foreign Corrupt Practices Act. This policy can be found by visiting the following link:

[www.northwestern.edu/financial-operations/policies-procedures/policies/anti-bribery.pdf](http://www.northwestern.edu/financial-operations/policies-procedures/policies/anti-bribery.pdf)



## Introducing

## Chris Rinere....

### 1) What is your title at Northwestern?

Senior Training Specialist in the Office for Sponsored Research, Info Team

### 2) What does that mean?

One of the big reasons this role was created was to help build a cohesive learning environment to provide a singular source for NU Sponsored Research training resources. My goal is to tie all training materials together in a meaningful way by executing and creating a centralized training framework through the Training Initiative Project. The goal of creating training content is to complement, not replace, offerings already available throughout the research community.

Joining me on this venture is the Training Advisory Committee, comprised of individuals across an array of sponsored research centralized offices and departments on both campuses, that will provide guidance and project support as I create training materials. In 2016, I will take the reins as OSR's training contact for the Learn@NU Saba training management system.

### 3) What is one thing you want people to know about what you do here?

Particularly with this role, I want to make sure the content itself has a lasting impression on the participants. The biggest way I want to do that is by creating smoother knowledge transfers between what we do online in the trainings with the day-to-day interactions.

### 4) How long have you been at Northwestern?

Nearly 3 months

### 5) What did you do before you came to NU?

Prior to NU, I was an instructional designer within Faculty Instructional Services at DePaul University, a customer education consultant at LinkedIn and a former secondary English teacher.

### 6) Where is your home town?

Rochester, New York

### 7) What is your favorite ice cream flavor?

Orange sherbet

### 8) What is your favorite thing to do outside of work?

I am a pretty active individual. I enjoy traveling, play the drums in a local indie-rock band, and play in a few different athletic leagues.

### 9) What is your favorite yearly Chicago event?

All of the music festivals, but particularly Pitchfork, because I love that time of year

---

## Peer Review Anonymity Called Into Question

The anonymity historically protected through online peer review sites has recently been challenged in a major court case. PubPeer, a post-publication peer review website, had anonymous comments posted on their site about questionable images in papers authored by Wayne State University cancer researcher Fazlul Sarkar. These comments were then anonymously forwarded to Sarkar's prospective employer, Mississippi State University (MSU), who withdrew its job offer. Sarkar sued the anonymous online commenters for defamation and requested the court compel PubPeer to disclose the names of the individuals who posted the allegedly defamatory comments. The court denied the request to reveal the identities of all the commenters who discussed Sarkar's work, but did order PubPeer to provide information about one particular commenter who may have had insight into how MSU received the concerns about Sarkar's research. Since then, both Sarkar and PubPeer have requested the court reconsider its ruling, but the court has yet to make a decision on either of the parties' motions.

The outcome and effect that this lawsuit will have related to online peer review sites and the identity of anonymous commenters remains to be seen. However, the issue of sharing good-faith concerns about the integrity of research is one that Northwestern takes seriously. Northwestern values honesty and integrity and is dedicated to ensuring the credibility and trustworthiness of its research. While discussions with trusted mentors about potential research integrity issues are encouraged, those with concerns should contact ORI directly. Discussions with ORI are confidential and can also be hypothetical in nature, in order to assess situations, potential next steps and outcomes. In addition, Northwestern has contracted with EthicsPoint, a 3<sup>rd</sup> party vendor to allow anonymous or confidential concerns to be reported.

---

## Policy on Non-Retaliation

Northwestern University faculty and staff are encouraged to report in good faith all information regarding alleged improper or wrongful activity. University policy prohibits retaliation against employees who make good faith reports of research misconduct or other research non-compliance and provides support to protect against retaliation. It is the University's policy to inquire into and, if necessary, investigate and resolve promptly and fairly all instances of alleged research misconduct. The University is committed to protecting its research, as well as protecting those who bring forward good-faith concerns.

<http://www.northwestern.edu/provost/policies/civility-and-campus-safety/non-retaliation.html>



EthicsPoint is a third party vendor that allows you to confidentially raise ethical concerns, ask questions, and/or report activities that may involve misconduct or violations of Northwestern University policy. For more information visit the website at:

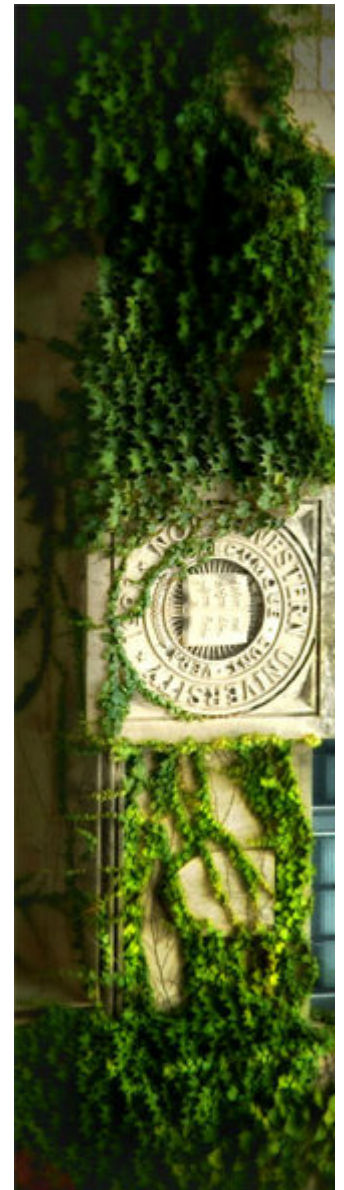
[www.northwestern.edu/ethics](http://www.northwestern.edu/ethics)

## Quote Corner

Tell me, and I forget. Teach me and I remember.

Involve me and I learn.

– Benjamin Franklin





---

## NSF RCR Training Requirements Reminder

Each summer a host of student researchers join the NU community for a few short months. As PI's and departments begin to prepare for the arrival of these students, it is important to anticipate training needs and requirements that may vary depending on work being done and awards used to support the work. Notably, the National Science Foundation (NSF) requires all undergraduate students, graduate students, and postdoctoral researchers supported by NSF awards to receive training in the Responsible Conduct of Research (RCR).

It is important to make sure that undergraduates or other visiting students, who are typically paid from the award for only a short time, receive the required training before they complete their work. This is especially essential for undergraduate students paid on NSF research awards, since Northwestern requires training to be completed no more than sixty days after salaries are first charged to the account.

If you are not clear what training is available and appropriate for your students, please consult with your department/program administrator. ORI is also a great resource should you have questions related to RCR training. Please visit our RCR website for more information at: <http://www.research.northwestern.edu/ori/training/rcr/index.html>

In addition, if the research involves human or animal subjects or certain types of hazardous materials/equipment, additional training is required.

---

## Managing Your Research Data

Data Management Plans (DMPs) help researchers think about how they will gather, organize, store and safeguard their data. The types of data included within a research project varies across disciplines, ranging from observational data and laboratory experimental data, to physical artifacts or text. In addition to compliance with federal data management mandates, appropriately managing data helps maintain integrity throughout the research life cycle, so that data can continue to be accessible and increase its relevance. Moreover, DMPs help researchers save time and support the process of effectively publishing research results!

Northwestern's library provides an excellent guide to assist researchers in planning for data management and creating DMPs. Visit the library's data management website to discover the valuable tools and training offered.

<http://libguides.northwestern.edu/datamanagement>

## Research Administration Upcoming Training

This four-session seminar is geared toward research administrators, staff involved in research administration and anyone who wants to learn about NU's research administration process, policies, and procedures. The seminar serves as an introduction to NU's research community and the extensive systems involved. It is a great networking and educational opportunity for staff new to research or experienced staff who would like a refresher in certain areas. Representatives from departments throughout NU will be on hand to present and answer questions.

The next seminar will take place July 14<sup>th</sup>, 16<sup>th</sup>, 21<sup>st</sup> and 23<sup>rd</sup> from 9:00 a.m. - 12:30 p.m. on the Chicago campus (McGaw, Daniel Hale Williams Auditorium).

To register, email [bethirwin@northwestern.edu](mailto:bethirwin@northwestern.edu)

### Office for Research Integrity

750 N Lake Shore Drive  
Rubloff, 7<sup>th</sup> floor  
Chicago, IL 60611

PHONE:  
(312) 503-0054

FAX:  
(312) 503-0902

E-MAIL:  
[nu-ori@northwestern.edu](mailto:nu-ori@northwestern.edu)



**NORTHWESTERN**  
UNIVERSITY

