



## 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 guidelines.

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## ORI Staff

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Research Integrity Officer

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## Changes to RCR Requirements for Undergraduate Students

Conducting research responsibly has always been very important to Northwestern and training in the responsible conduct of research (RCR) is critical to prepare individuals to address ethical challenges that may arise when conducting research. Recently, through the Vice President for Research, changes have been implemented in support of this aim that specifically target undergraduate students funded through the National Science Foundation (NSF). Additional CITI online RCR modules, which are the primary source for undergraduate training in this complex subject, have been added throughout all disciplines to enhance the overall course and establish consistency across programs.

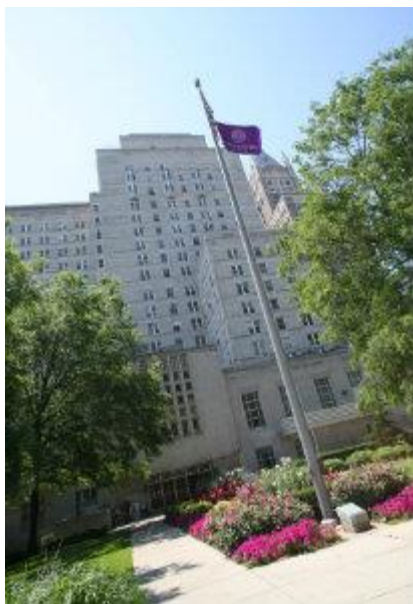
Undergraduate students currently paid by NSF research awards must complete their RCR training no more than sixty days after salaries are first charged to the account. *Salary costs for individuals who have not completed the required training within sixty days are unallowable and must be removed from the award and charged to a non-sponsored account.* It is a PI's responsibility to ensure RCR training is completed.

ORI supports the schools/departments in the process of tracking RCR training compliance for NSF funded student researchers and will provide regular notifications to school administrators pertaining to NSF funded undergraduates. An RCR website (linked below) has been created to clearly identify current RCR requirements and course options by audience. The site has also been updated to clearly highlight NSF as well as National Institute of Health (NIH) regulations that detail requirements regarding RCR training.

While each school/department has internal RCR contacts and individuals to support training compliance, ORI's Research Training Manager, Beth Irwin, is always available to help navigate RCR-related questions or concerns.

RCR Regulations and Northwestern Training Requirements:

<http://www.research.northwestern.edu/ori/responsiblesearch/responsibleconduct.html>



## Did You Know?

Did you know that, effective 7/1/2014, the use of the Electronic Sponsored Project Request (ESPR) system is now mandatory for requests to OSR to issue new outgoing subcontracts, outgoing subcontract amendments, as well as establish prespending chartstrings? A link to the ESPR system and user guide is available at:

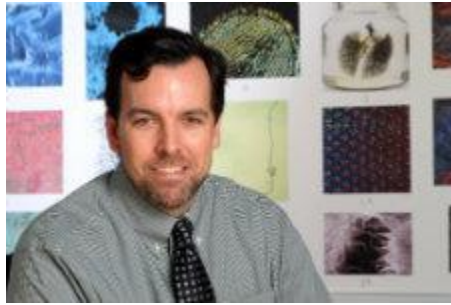
<https://www.espr.northwestern.edu/>

Did you know that NUCATS offers a terrific course in *Taking Responsibility for Responsible Conduct of Research* targeted to postdoctoral fellows and junior faculty? Registration is now open. Detailed information and course syllabus are available at:

<http://www.nucats.northwestern.edu/education-career-development/seminars-courses-and-events/taking-responsibility-for-responsible-conduct-of-research/>

Did you know for Contracted Services forms, NU bases the 90 days on the start date of the period of service? If the start date is over 90 days, an approved 90 day justification form is needed. A link to the 90 day rule can be found at:

<http://www.northwestern.edu/financial-operations/policies-procedures/forms/90-Day-Memo-Form-and-Instructions.pdf>



## Introducing Lane Campbell....

**1) What is your title at Northwestern?**  
Director, Office for Export Controls Compliance

**2) What does that mean?**

This role was created two years ago when leadership undertook efforts to explore the best way to manage a unique – and complex – area of compliance for the University.

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

I'm excited and always willing to speak with people about these issues! It's important for people to know I have a robust message to share and that I'm here to help them understand how regulations may impact your project or issue.

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

A total of approximately six years, most recently working in OSR-Evanston as a Senior Contract and Grant Officer.

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

I previously worked for an international consulting firm, on projects in the legal field. I relocated to Chicago in 2000, working in various roles before joining Northwestern.

**6) Where is your home town?**

I grew up in Allendale, New Jersey which is located about 20 miles outside New York City.

**7) What is your favorite flavor of ice cream?**

I love Margie's ice cream, an older local Chicago institution, and try not to limit myself to just one flavor.

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

Listening to music and going to concerts so I can constantly discover new/old things.

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

The Shamrock Shuffle

## 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 next take place October 7<sup>th</sup>, 9<sup>th</sup>, 14<sup>th</sup>, and 16<sup>th</sup> from 9:00 a.m.-12:30 p.m. on the Evanston campus (Chambers Hall, lower-level classroom). To register, email [bethirwin@northwestern.edu](mailto:bethirwin@northwestern.edu).

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## Global Connections At Northwestern's Doorstep

Managing the vastly complicated network of federal agencies and inter-related regulations that govern any oral, written, electronic or visual disclosure, shipment, transfer or transmission going outside of the United States to anyone (including certain exchanges occurring wholly within the United States) is a difficult task, but the Office for Export Controls Compliance (OECC) is prepared for the challenge. Specifically, Lane Campbell, the Director of the currently one member OECC, is eager to help clearly communicate how such regulations may impact you and your research.

Created two years ago when the University undertook efforts to explore the best way to manage an evolving area of compliance for universities nationwide, OECC has been dedicated to creating policy and identifying ways to best support the research

community on these complex issues. Though the concept of export controls is not new to the United States, in recent years this issue has come under higher scrutiny by governing agencies. Export controls are intended to address several concerns, such as protecting national security, implementing U.S. foreign policy, and maintaining a military and economic edge for the U.S. Individuals/companies on restricted party lists and nations subject to embargoes present elevated risks for universities, sometimes presenting barriers to conducting research with these parties.

The Fundamental Research Exclusion (FRE) was originally established in a directive issued by President Reagan in 1985, with further affirmations issued by the Department of Defense (DOD), and highlights the federal government's policy seeking to make fundamental research (research that is broadly shared within the scientific community) unrestricted. "In the past, it was more common for Universities to rely entirely on the FRE. And while the FRE does provide a safe haven for universities engaged in research, it has its limits," explains Campbell, "but not enough to make potential problems go away." Such potential problematic ways that export controls commonly appear at NU are through contracts with requirements or proposed terms that somehow raise export control concerns. For instance, per policy, NU would not agree to terms in a research agreement restricting the participation of foreign nationals. Other examples offered by Campbell include issues surrounding NU's large international population, including the campus in Qatar, and exporting equipment or other physical items.

An example of the recent growth of the export control field for universities is the establishment of a national organization dedicated to the area, the Association of University Export Controls Officers, which includes dozens of university export control officers from around the country. The association was created to increase collaboration among universities and facilitate discussion of export controls issues. Failure to comply with export control regulations has many consequences, some of which have received negative publicity, that the OECC is dedicated to helping the University avoid, such as: criminal charges, monetary penalties, damage to reputation, and loss of export control privileges. Campbell stresses that one of the best ways to avoid compliance issues is for individuals, such as PI's and research administrators, "to have a general understanding of export controls, to ask the right questions and know when to contact my office or how to vet proposal/contract issues and flag things so the appropriate office can engage OECC to ensure that all such issues are appropriately addressed." In addition to the quarterly Research Administration Training Seminar, Campbell is eager to help expand the community's knowledge of export controls issues and is available for ad hoc training upon request, especially when projects involve research in sensitive areas.

Stay tuned for expanded training opportunities and check out current informational resources plus NU's *Export Controls Compliance Policy* on the OECC website: <http://exports.northwestern.edu/>

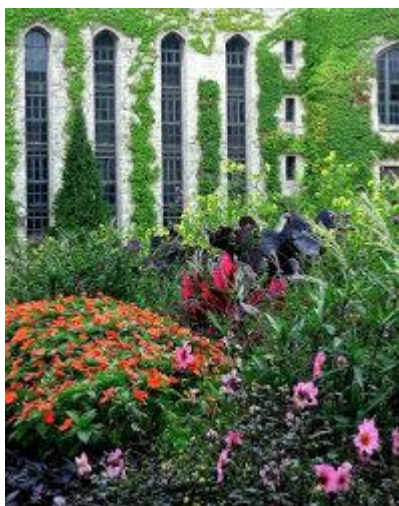
Quote Corner  
Important  
principles may,  
and must, be  
inflexible.  
-Abraham  
Lincoln





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)



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## NIH Promotes Reproducibility of Studies

Convened by the National Institute for Health (NIH), a group of approximately 40 leading medical-journal editors, representing journals that include *Science and Nature*, met at the beginning of this summer to discuss the increasingly pervasive issue of scientific findings that cannot be replicated. The group was able to come to a consensus, endorsing a set of guidelines detailing what journal editors must accept as their responsibility for ensuring the reproducibility of published findings. NIH director Dr. Francis S. Collins has only offered partial details of the agreement at this time, though he has highlighted the need for journals to publish articles that identify reproducibility problems with previously published studies.

The problem of irreproducibility in science has been growing for years, spurred by John P.A. Ioannidis's 2005 challenging paper titled [Why Most Published Research Findings Are False](#). Ioannidis, now a professor of medicine at Stanford University, cited small sample sizes and financial conflicts of interest among several other red flags that indicated the prevalence of suspicious findings. Creating a new process intended to help scientists accentuate the quality, rather than the quantity, of previous research, NIH has implemented a new "biosketch" format that permits researchers to describe up to five of their most significant scientific contributions. In addition to the recent meeting with journal editors, such changes within NIH indicate a desire to counteract the current competitive atmosphere where both scientists and journal editors rush to publish papers before ensuring the work is fully comprehensive and accurate.

One example of how NU is part of this national dialogue involves recognizing how imbalances between male and female research subjects also impacts reproducibility of research findings. Select below to watch Dr. Teresa Woodruff and Dr. Melina Kibbe speak to this issue in a recently featured CBS 60-Minutes segment: [http://www.cbs.com/shows/60\\_minutes/video/S6y6Q6z98VZtS9jQxeu8G7tLckNliMTY/routine-lunch-sparks-an-epiphany/](http://www.cbs.com/shows/60_minutes/video/S6y6Q6z98VZtS9jQxeu8G7tLckNliMTY/routine-lunch-sparks-an-epiphany/)

Stay tuned for more information about the NIH Initiative to Enhance Reproducibility and Transparency in Research Findings, which plans to include a pilot training module on research integrity that highlights study design and experimental biases.

## Proposal Development Brown Bag Series

OSR-Evanston recently launched a new brown bag series focused on the pre-award process for research administrators. Topics have been selected to facilitate successful proposal development and submission. All events will be from 12-1pm, located at 600 Foster Street, Evanston, Lower level Chambers Hall- Ruan Conference Room. You can still catch the following topics:

|                                            |                                     |
|--------------------------------------------|-------------------------------------|
| <i>Anatomy of the Administrative Shell</i> | Monday, August 25 <sup>th</sup>     |
| <i>Developing Budgets</i>                  | Friday, September 12 <sup>th</sup>  |
| <i>Effective Communication</i>             | Tuesday, September 30 <sup>th</sup> |

Check out the OSR website for recent presentations you may have missed! <http://www.research.northwestern.edu/osr/training.html>

Work on the Chicago campus and/or unable to attend? Join OSR-Chicago's brown bag each 3<sup>rd</sup> Thursday of the month from 12-1pm, located at 676 N Saint Clair, 6<sup>th</sup> floor Surgery Room. The topic for August will be *Customer Service Skills for Research Administrators: "Don't" Just Say No.*

Select this following link for information on joining the OSR-listserv: <http://www.research.northwestern.edu/osr/listserv.html>