



## 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

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## Research Roles and Responsibilities Gets a Make-Over

Everyone involved in research-related activities at Northwestern plays an important role in ensuring that the highest standards of ethical and professional conduct are upheld and that we conduct the absolute best research possible. Whether you process laboratory samples or expense reports or supervise research activity for an entire department, you are required to maintain compliance with complex University policies, procedures and guidelines as well as sponsoring agency policies and regulations. However, it can be difficult to clearly identify who is responsible for the numerous tasks vital to research. Thankfully Northwestern has a resource which provides a solution to this very problem and it has received a complete makeover to be more user-friendly and current than ever before!

The *Research Roles + Responsibilities* website provides an overview of the duties of key individuals that conduct or support research activities at Northwestern University, specifically focusing on the following roles: Vice President for Research, Dean, Chair, Technical Research Personnel, Administrative Research Personnel, and Principal Investigator (PI). The technical and administrative research personnel roles on the site are designed to represent anyone involved in the technical or administrative support roles, rather than specific job titles, which vary across units.

The website replaces the former *Research Roles and Responsibilities* matrix, recreating the tool to reflect current best practices in presenting web-based content in an understandable, easily navigable way. Various stakeholders from across the University, including the Office for Research units, Financial Operations, dean's offices, department chairs, PI's and support staff were consulted throughout the revision process. The end product is a harmony between both campuses that provides high level direction for key research activities and avoids the burdensome pitfall of highlighting every single task for every role in the community. The website will be reviewed annually to ensure content is up-to-date.

There are many great ways that the new website can be thoughtfully integrated into Northwestern's research enterprise. For instance, it can be an excellent tool for onboarding new employees or for departments seeking to create their own uniquely detailed workflow checklists for various operational, financial and business functions involving proposals and awards or research conduct. The roles identified can also be used as a foundation for training development across units or areas of responsibility.

Please visit the website at <http://www.researchroles.northwestern.edu/> to see just how important your role is to facilitating quality research at Northwestern!



## Did You Know?

The NIH is seeking comments on approaches to revising grant application instructions. Feedback is requested by September 25<sup>th</sup>, so go to the following link for information on how to participate and submit responses:

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-15-134.html>

The University has updated its Purchasing and Payment Policy and Procedures. Visit the policy website for more information and how it affects your research:

<http://www.northwestern.edu/financial-operations/policies-procedures/policies/purchasing-payment-policy.pdf>

An approved and signed petty cash payout form must be included with your direct payment request (DPR), along with original receipts, before going to the Depository Services for replenishments. For more information please contact Cindy Regner, Supervisor of Depository Services:  
[cregner@northwestern.edu](mailto:cregner@northwestern.edu)



## Introducing

## Virginia Robbins...

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

I am the Senior Training Specialist Team Lead in NUIT Administrative Systems-Project Management Office.

### 2) What does that mean?

We are responsible for design, development and delivery of training related to the administrative systems (Think: InfoEd, Cognos, NUFinancials and more!) here at Northwestern. I lead a team of five trainers who conduct role-based, hands on training sessions tailored to the actual business processes to support the software applications. Additionally, we offer online training opportunities for the NU community.

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

I love my job and I want you to come to class to learn how to use the administrative systems to better do your current position or grow into your next position!

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

I was initially at the university for 16 years as part of the Investment Office Operations team and then managed the Real Estate Office. I took a break, and then rejoined NU and have been a Senior Training Specialist for 7 years.

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

I pursued an acting career.

### 6) Where is your home town?

Jefferson, Massachusetts

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

Java Chip

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

I am an amateur figure skater! I love the theatre and to travel!

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

Lilacs blooming in the Spring! I steal free smells wherever I go!

## 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 enterprise 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 October 13<sup>th</sup>, 15<sup>th</sup>, 20<sup>th</sup> and 22<sup>nd</sup> from 9:00 a.m. - 12:30 p.m. on the Evanston campus (Chambers Hall, Lower-Level Auditorium).

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

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## Grant Related Training

Whether you are new to Northwestern or transitioning to a new role in sponsored research, NUIT Administration Systems has a class just for you! Customized to provide NU's diverse faculty and staff with role-based training tailored to actual business process, NUIT Administrative Systems offers training ranging from online, self-paced courses to hands-on application classes on InfoEd, NUFinancials, Cognos and more. Got a specific question? Come to Open Labs on Mondays from 10am-12pm in the Mudd Library and Tuesdays from 2:30-4:30pm in Tarry 1-731.

The following classes are great resources for grant-related training:

FMS502	InfoEd Proposal Development
FMS503	InfoEd Approvals (online)
FMS504	Reports in Sponsored Research (New, online)
FMS505	Managing Sponsored Projects
FMS507	Clinical Trials Proposals in InfoEd

Though you can register for classes in whichever order best fits your needs, a recommended training sequence is provided to ensure learners have a strong foundation in each content area before moving forward into advanced topics. You can view a complete list of introductory, intermediate and advanced courses through the NUIT Administrative Services website at:

<http://ffra.northwestern.edu/training/sequence.html> or for a more grant specific training sequence: <http://ffra.northwestern.edu/secure/training/fms505-grants-training-plan.html>.

You can register for these courses through the FASIS Self Service Portal: [https://nupa.northwestern.edu/psp/pa91prod/EMPLOYEE/EMPL/h/?tab=PAPP\\_GUEST](https://nupa.northwestern.edu/psp/pa91prod/EMPLOYEE/EMPL/h/?tab=PAPP_GUEST).

## Quote Corner

One's philosophy is not best expressed in words; it is expressed in the choices one makes...and the choices we make are ultimately our responsibility.  
-Eleanor Roosevelt



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## Revolutionary Change in RCR Compliance Monitoring



Effective September 8, 2015, training at Northwestern University will be transformed as we welcome Learn@Northwestern, a new cloud-based training environment that can be accessed anytime and anywhere. Though the new system will eventually be rolled out for other uses, areas in the Office for Research are included in the first implementation phase with Responsible Conduct of Research (RCR) and research safety training leading the pack.

Northwestern's goal is 100% compliance with National Science Foundation (NSF) requirements for RCR training. This system significantly supports that goal by improving communication about training requirements and allows users to easily monitor compliance.

RCR training will automatically be assigned to undergraduate students, graduate students, and postdoctoral researchers supported by NSF awards. Additionally, some departments, schools and programs require RCR training for all graduate students and postdoctoral researchers, regardless of funding, and these requirements may also be assigned in the Learn@Northwestern system. Learners will get email notifications when training is assigned and will be directed on how to complete it. The most significant change impacts only postdoctoral researchers who will now be required to register for classes in Learn@Northwestern. Online RCR training will still be completed through the CITI program for undergraduates, and applicable graduate students and postdoctoral researchers. Graduate students will still register for instructor-led training through CAESAR.

For more information about Learn@Northwestern, please visit [Learning & Organizational Development](#).

For more information about RCR requirements, please visit the Office for Research Integrity's (ORI) website at: <http://www.research.northwestern.edu/ori/training/rcr/index.html> or contact Beth Irwin, Research Training Manger, at [bethirwin@northwestern.edu](mailto:bethirwin@northwestern.edu).



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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## Scientist Earns Jail-time for Research Misconduct

The research community's interest is piqued by the legal battle occurring over a federal finding of research misconduct, as the guilty finding has had unprecedented consequences for the researcher. Typically, scientists found guilty of research misconduct are subjected to a fall from academic grace, banned from receiving federal funding for a few years, excluded from serving on PHS advisory boards or committees and/or placed under close institutional supervision. But on July 1, 2015, Dong-Pyou Han, a former biomedical scientist from Iowa State University (ISU), was sentenced to more than 4 ½ years in prison for falsifying and fabricating data in HIV vaccine trials. Han was additionally fined \$7.2 million to pay back the government agency that funded his research.

The deception began in 2008 at Case Western University when Han worked on an HIV vaccine research team led by Michael Cho, Ph.D. Test results suggested a significant breakthrough, since rabbits injected with the GP41 vaccine presented antibodies in the blood, signifying the vaccine prompted an immune response to HIV. Cho immediately submitted grant proposals to the National Institutes of Health (NIH) and, according to the federal complaint, "flabbergasted" officials with the results. Unfortunately, as later admitted by Han, the results were invalid since he had accidentally contaminated the rabbit blood with human antibodies. Rather than owning his mistake and informing Cho, Han continued spiking future samples, implying that the rabbits were building an immune response and neutralizing HIV. Cho and his research team were then recruited by ISU to continue work on the false vaccine, earning significantly more grant funding to study Han's fraudulent "finding." As a lab manager with Cho's team, Han had direct access to the samples and spent years continuing to add human antibodies to the blood, directly supplying Cho with the falsified data for grant applications.

Intrigued by the GP41 vaccine, researchers at Harvard University attempted to validate the research findings of Cho's team and discovered the human antibodies in the spiked blood samples. ISU conducted an institutional review into this concern and Han eventually admitted guilt during ISU's research misconduct proceedings. Han resigned from his position and ISU was required to pay back the \$500,000 it received from NIH for Han's salary. The DHHS Office of Research Integrity (ORI), the federal agency overseeing institutional research misconduct proceedings involving PHS-funded research, barred Han from pursuing federal grants for three years, the typical penalty that it inflicts on junior investigators. However, in February 2014, the case received attention from Senator Charles Grassley (R-IA) who felt ORI's penalty was extremely light given the millions of taxpayer dollars that were fraudulently wasted. While ORI does not have the authority to prosecute offenders for findings of research misconduct, Sen. Grassley's pressure compelled the Department of Justice to eventually arrest and prosecute Han. His case was brought to a grand jury where Han pleaded guilty to two felony charges of making false statements in order to obtain NIH research grants.

Han's case raises questions about the appropriate types of penalties for a finding of research misconduct and the consistent applicability across the federal funding agencies especially given the agencies' different governing structures and responsibilities. Additionally, though his case sends a strong warning to other potential offenders, many question whether jail time will further deter future criminal conduct, given the disastrous impact of a federal research misconduct guilty finding on a scientist's career. Certainly, this case has created a precedent which researchers ought not to take lightly and it will be interesting to see if this case is really an exception or an example of what is to become the norm.

