



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;
- Monitoring and correcting non-compliance in accordance with University and federal guidelines.

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Honorary Authorship

What do smoking in the office, pharmaceutical industry gifts and honorary authorship have in common? These once common activities are no longer acceptable. Philip Greenland, M.D., Harry W. Dingman Professor of Preventative Medicine and Medicine, Feinberg School of Medicine and Dr. Phil Fontanarosa, M.D., M.B.A., Executive Editor, *Journal of the American Medical Association* and Adjunct Professor of Emergency Medicine and Preventative Medicine, Feinberg School of Medicine addressed the issue of honorary authorship in their article, "Ending Honorary Authorship," published in the August 2012 issue of *Science*. According to Drs. Greenland and Fontanarosa, "A true author is someone who has made substantive intellectual contributions to a study and is responsible for a component of the work." In contrast, honorary authorship bestows the title of author to a person who did not substantively contribute to the research or the manuscript.

In their article, the authors discussed the prevalence of honorary authorship and provided possible solutions for decreasing this inappropriate practice. Greenland and Fontanarosa found that honorary authors are often included in papers (a) out of a sense of obligation for an individual's minor contribution, (b) to increase the likelihood of publication, or (c) due to coercion by a senior colleague. ORI spoke with Dr. Greenland about how opinions of honorary authorship have transformed over the years. Dr. Greenland admitted that when he was a young scientist, "The idea of honorary authorship was well-accepted; [however,] what's acceptable behavior has clearly changed." For instance, Dr. Greenland referenced recently updated guidelines from [the International Committee of Medical Journal Editors \(ICMJE\)](#), [the World Association of Medical Editors \(WAME\)](#) and various journals, such as [Science](#) and [Nature](#). These guidelines encourage appropriate authorship practices and attempt to prevent the unethical tradition of including individuals as authors who should be named in the acknowledgements section of the paper, if at all.

Did You Know?

ORI has welcomed a new Department Assistant to our team. Yasmeen Khan joined us back in August from the University of Chicago and she became a permanent member of our staff in December. Welcome Yasmeen!

The Office for Research has a new Director of Export Compliance, Lane Campbell. Lane came from the Office for Sponsored Research where he worked as a Senior Contract and Grant Officer. Congratulations, Lane on your new role! For questions regarding export controls, contact Lane at lcampbell@northwestern.edu.

Northwestern University has a new research data ownership, retention and access policy. This policy explains individual researcher & University rights and responsibilities with respect to research data, data ownership and the standards for the collection and retention of data. The policy can be accessed here: http://www.research.northwestern.edu/policies/documents/research_data.pdf.



Introducing Sheri Lindsay...

1) What is your title at Northwestern?

Senior Compliance Analyst in the Office for Research Integrity

2) What does that mean?

I coordinate and perform Research Compliance Risk Assessments (RCRA) for the University.

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

I would like people to know that I am not performing audits! I do assess how staff perform research administration activities and help to manage or mitigate any potential research compliance risks. I also promote best practices.

4) How long have you been at Northwestern?

I have been at Northwestern 14 years.

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

I was a project manager for a contract research organization.

5) Where is your home town?

Chicago, Illinois

6) What is your favorite flavor of ice cream?

Jamocho Almond Fudge

7) What is your favorite vacation spot?

Anywhere tropical

8) What is your favorite yearly Chicago event?

The One of Kind Show and Sale at Merchandise Mart:
<http://www.oneofakindshowchicago.com/>

Research Compliance Risk Assessment

The research compliance risk assessment process (RCRA) is designed to understand how research administration is performed within University units and determine whether the activities are done in a compliant manner. ORI partners with the individual units to look at six research compliance areas including fiscal administration, use and care of animals, human subjects protections, research safety, responsible conduct of research and the operating environments. The primary goal of the RCRA is to identify and proactively manage any risks that are, or could lead to, compliance issues.

The RCRA process should be seen as an aide to protect the entire University, including faculty, staff, and students, by addressing potential research non-compliance risks before they become problems. All units that receive sponsored funds will be assessed and the process is comprised of three phases detailed via the following link:
http://www.research.northwestern.edu/ori/risk_assessment/.

In addition to a final report that is distributed to the unit, OR senior administration and other relevant University officials, the RCRA produces a customized management plan to address any potential non-compliance identified during the process. Several common findings within units across the University have been identified including misperceptions or lack of knowledge regarding cost principles, research non-compliance and/or research misconduct and reporting, research safety requirements, equipment tracking, PI check out procedures as well as central tracking of key human and animal protocol information.

To mitigate RCRA findings, units are educated on and referred to adopt research administration best practices. For example, units often rely on the University to inventory and track capital equipment (\$5K or more). However, it is recommended that units keep track of **all** equipment, especially those purchased with sponsored funds. The University suggests that each unit use an [equipment inventory log](#) to capture and track **all** equipment. Additional best practices and useful tools can be found online:
<http://www.research.northwestern.edu/ori/responsiblesearch/practical-resources.html>.

The RCRA should be viewed as a collaborative and proactive partnership that serves as an important step in promoting research compliance across the University. For questions regarding the Research Compliance Risk Assessment process, please contact Sheri Lindsay at s-lindsay@northwestern.edu.



NSF RCR Requirement

NSF requires that all undergraduate students, graduate students and post docs who are funded from NSF awards submitted or due on or after January 4, 2010 must complete Responsible Conduct of Research (RCR) training. ORI is responsible for tracking compliance with this regulation. For more information on the NSF and NIH RCR requirements or RCR in general, contact ORI or visit the ORI website:
<http://www.research.northwestern.edu/ori/responsiblesearch/responsibleconduct.html>.





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



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Research Administration Training Update

Over the past year ORI has worked with subject matter experts to overhaul the quarterly Research Administration Training Seminar. Though improvements and updates will continue to be made each quarter, the revamp is complete. We would like to welcome you all to register for this new and improved seminar. You can register for the entire seminar or for portions of it based on what is relevant for you. It will still take place quarterly and alternate between the Evanston and Chicago campuses. ORI wishes to express gratitude to all of the subject matter experts (you know who you are) who assisted in this revision. It could not have been completed without you. Your support and flexibility throughout this process has been greatly appreciated.

The next seminar will next take place February 12th, 14th, 19th, and 21st from 9:00 a.m.-12:30 p.m. on the Evanston campus (Chambers Hall, lower level classroom). To register, email nu-ori@northwestern.edu.

Honorary Authorship

(continued from page 1)

The authors recommend several potential solutions to discourage honorary authorship:

- Create and enforce a credible authorship policy at the institution,
- Include honorary authorship in the definition of research misconduct and update the research misconduct policy, as an honorary author has falsely stated that he or she has contributed equally to the work as a true author,
- Provide individuals with a place to report concerns regarding honorary authorship, and
- Encourage other senior co-authors to enforce ethical authorship practices.

Honorary authorship is an unacceptable practice that widely exists in the research community. Institutions, journals and scientists need to encourage and implement ethical authorship practices or this will continue to be an issue for future research. As Dr. Greenland commented, "We're educating the next generation of researchers and if we teach them [honorary authorship] is okay, they're going to propagate that."

View Drs. Greenland and Fontanarosa's article in full, "[Ending Honorary Authorship](#)"

Resources for the NU researcher to maintain good authorship practices

- Northwestern University's Guidelines for Investigators in Scientific Research <http://www.research.northwestern.edu/ori/misconduct/documents/GuidelinesforInvestigatorsinScientificResearch.pdf>
- International Committee of Medical Journal Editors (ICMJE) http://www.icmje.org/ethical_1author.html
- World Association of Medical Editors (WAME) <http://www.wame.org/resources/policies#authorship>
- Always refer to the scientific journal's authorship policy or guidelines
- Contact the Office for Research Integrity with any questions or concerns