

## **RESPONSIBILITIES OF RESEARCH INTEGRITY OFFICER**

### **I. Background**

Integrity in research and scholarly, and creative activities is a University's paramount value.

Responsible Conduct of Research and the fundamental principles of Research Integrity – honesty, fairness, responsibility and accountability are at the very essence of the Academic Research enterprise and crucial to society's trust in science.

The National Institutes of Health identifies the following tenants of Research Integrity:

- the use of honest and verifiable methods in proposing, performing, and evaluating research
- reporting research results with particular attention to adherence to rules, regulations, guidelines, and
- following commonly accepted professional codes or norms.

A framework of Responsible Conduct of Research developed by the HHS Office of Research Integrity includes training topics on research misconduct, protection of human and animal subject in research, conflict of interest, data management, mentor and trainee responsibilities, collaborative research, authorship and publications, peer review, biosafety and whistleblowing.

All CSUSB employees, students and the individuals affiliated with CSUSB by a contract or agreement who engage in research and/or scholarly activities under the CSUSB or UEC auspices are subject to Responsible Conduct of Research and shall uphold the highest level of research integrity.

### **II. Responsibilities**

Associate Provost for Research or a designee serves as the University Research Integrity Officer (RIO).

#### **A. General**

RIO has lead responsibility for ensuring that the institution:

- Fosters a research environment that promotes the responsible conduct of research.
- Oversees responsible conduct of research training and other activities that promote integrity in research and discourages research misconduct.
- Has written policies and procedures about responsible conduct of research and about responding to allegations of research misconduct according to the requirements of 42 CFR Part 93.
- Deals promptly with allegations or evidence of possible research misconduct, oversees research misconduct proceedings and assures that these proceedings comply with the university written policies and federal regulations delineated in 42 CFR part 93.

## **B. Notice and Reporting to the Office of Research Integrity (ORI)**

RIO has lead responsibility for ensuring that the institution:

- Compiles the annual report according to the to the ORI requirements.
- Files an annual report with ORI.
- Notifies ORI immediately if, at any time during the research misconduct proceeding, it has reason to believe that health or safety of the public is at risk, federal resources or interests are threatened, research activities should be suspended, there is reasonable indication of possible violations of civil or criminal law. Provides ORI with the written finding by the responsible institutional official that an investigation is warranted and a copy of the inquiry report, within 30 days of the date on which the finding is made.
- Provides ORI with the written finding by the Deciding Official, as defined in the about responding to allegations of research misconduct, that an investigation is warranted and a copy of the inquiry report, within 30 days of the date on which the finding is made.
- Notifies ORI of the decision to begin an investigation on or before the date the investigation begins.
- Within 120 calendar days of beginning an investigation, or such additional days as may be granted by ORI, (or upon completion of any appeal made available by the institution) provides ORI with the investigation report, a statement of whether the institution accepts the investigation's findings, a statement of whether the institution found research misconduct and, if so, who committed it, and a description of any pending or completed administrative actions against the respondent.
- Cooperates fully with ORI during its oversight review and any subsequent administrative hearings or appeals, including providing all research records and evidence under the institution's control, custody, or possession and access to all persons within its authority necessary to develop a complete record of relevant evidence.

## **C. Research Misconduct Proceedings**

RIO has the responsibility for:

- Determining whether each person involved in handling an allegation of research misconduct has an unresolved personal, professional or financial conflict of interest and taking appropriate action, including recusal, to ensure that no person with such a conflict is involved in the research misconduct proceeding.
- Conducting assessment of allegations. Upon receiving an allegation of research misconduct, the RIO immediately will assess it to determine whether the allegation:
  - Falls within the definition of research misconduct, and
  - Is sufficiently credible and specific so that potential evidence of research misconduct may be identified.

An inquiry must be conducted if these criteria are met.

- Sequestering of research records. The RIO shall, on or before the date on which the respondent is notified of the allegation, obtain custody of, inventory, and sequester all research records and evidence needed to conduct the research misconduct proceeding. The RIO is responsible for inventorying the records and evidence.
- Notifying the respondent. At the time of or before beginning an inquiry, the RIO or the

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Chair of the Inquiry Committee make a good faith effort to notify the respondent in writing. If the inquiry subsequently identifies additional respondents, they must be notified in writing.

- Appointing the Inquiry and the Investigation Committees according to the written policy about responding to allegations of research misconduct.
- Keeping the Deciding Official (DO) and others who need to know apprised of the progress of the review of the allegation of research misconduct.
- Assuring that all steps of the research misconduct proceeding comply with the university policy about responding to allegations of research misconduct and according to the requirements of 42 CFR Part 93.

The above guidance references or directly quotes the following documents:

ORI Handbook for Institutional Research Integrity Officers

and

CDC Summary of the Research Integrity Officer Responsibilities