

# NSF Responsible Conduct of Research Training Workshop

January 12, 2015

Wendi Heinzelman  
Dean of Graduate Studies



# Basic of Ethics...

- Don't
  - Lie
  - Cheat
  - Steal
- However, many grey areas– purpose of this workshop is to explore these
- Goal: have discussions, think about consequences, determine what you would do in different situations



# UR Academic Honesty Policy for Graduate Students

- The University of Rochester considers academic honesty to be a central responsibility of all students. Suspected infractions of University policies will be treated with the utmost seriousness. Suspected graduate academic misconduct will be reported to the department chair and associate dean for graduate studies.

[From the UR Graduate Bulletin, 2010-2012]



# Examples

- Plagiarism
- Misuse of library material
- Obtaining an examination prior to its administration or using unauthorized aids during an examination
- Knowingly falsify data or data analysis results
- Assist someone else in an act of academic dishonesty
- A student remains responsible for the academic honesty of work submitted to the University as part of the requirements for the completion of a degree (or any other coursework taken at the University) even after the work is accepted or the degree is granted. This rule applies to students who are no longer matriculated at the University of Rochester, including those who have graduated
- Ignorance of these standards is not considered a valid excuse or defense

[From the UR Graduate Bulletin, 2010-2012]



# Dealing with Academic Misconduct

If ... the alleged misconduct in any way involves sponsored research (including federal training grants), threatens the integrity of the scientific method, or compromises the creation of new knowledge (including original art, scholarship, and research), the matter will be referred to and will follow the procedures outlined in the Policy on Misconduct in Scholarship and Research in the *Faculty Handbook*.

[From the UR Graduate Bulletin, 2010-2012]



# Post-doc Policies

- *Responsibilities of the Post Doctoral Appointee*

Post doctoral Appointees have obligations to their faculty Advisors, to Arts, Sciences and Engineering, and to the University of Rochester. These include conscientious and ethical efforts to accomplish the research and/or teaching responsibilities outlined at the time of acceptance of the appointment, and compliance with good laboratory practice, including the maintenance of adequate research records and care for unique facilities, equipment, and special materials. The Appointee must discuss research findings with the faculty Advisor and avoid disclosures without the Advisor's consent, behave with congeniality and respect for colleagues, and conform to applicable policies, as described above. The University of Rochester Policy on Intellectual Property and Technology Transfer ... applies to post doctoral Appointees.

[From the AS&E Post Doctoral Appointment Policy, 2011]



# Post-doc Policies

- *Property*

When departing the University of Rochester, whether at the end of an appointment or by resignation or termination, the post doctoral Appointee must leave behind with his or her Advisor all original laboratory notebooks, data, code, and University property. All these should be left in a condition that will permit uninterrupted continuation of the work.

- *Other Policies*

Post doctoral Appointees are subject to the generally applicable rules, regulations and policies of the University of Rochester and Arts, Sciences and Engineering, including but not limited to those relating to intellectual property, conflicts of interest, sexual harassment, respect for diversity, academic honesty and campus safety and security.

[From the AS&E Post Doctoral Appointment Policy, 2011]



# Faculty Misconduct

- Reported to department head, dean, and provost
- Committee convened to investigate
- Report generated
  - Sent to external sponsor as appropriate
- If the committee finds that there was misconduct, the dean will:
  - ...notify the editors of publications to which abstracts and papers relevant to the misconduct have been submitted and request that the work be withdrawn prior to publication, or, if the work has already been published, that an appropriate retraction or correction be published.
  - After consultation with the provost, recommend appropriate disciplinary action, which may include termination.

[From the UR Faculty Handbook, 2010-2012]



# What To Do When Witnessing Something Unethical

- Obligation to report unethical behavior
- Discuss with advisor, director of graduate studies, department head, dean
- Never be compliant, even if an advisor is the one doing the unethical behavior– it is your career at risk!



# Logistics

- You must sign in during the afternoon sessions to get credit for attending this workshop
- Graduate students will have their attendance noted on their transcripts
- Postdoctoral fellows will receive a certificate of attendance
- All who attend this workshop are considered “trained” by NSF and UR and will not require any additional RCR training



# Workshop Format

- Lecture followed by small group case scenario discussions
  - All should participate in the group discussions
  - Discussions facilitated by faculty members
    - Thank you to all faculty for helping out!!
- Enjoy the workshop!

