

The Office for Research Integrity (ORI)

The Office for Research Integrity

- The values of ORI reflect our commitment to supporting research at Northwestern and emphasize the ways in which we interact with our research community:
 - **Service** — partnering to help and support the research community
 - **Ethics** — establishing and interpreting standards and principles for research conduct
 - **Responsibility** — promoting trust and accountability
 - **Vigilance** — identifying and mitigating research risks throughout the research community
 - **Integrity** — serving the research community with honesty and respect
 - **Community** — promoting cooperation and coordination and to manage research risks
 - **Excellence** — improving research at Northwestern through innovation and participation

The Office for Research Integrity

- The **Mission** of the **Office for Research Integrity (ORI)** is to support and safeguard Northwestern University's Research Community by:
 - Identifying compliance risks in our research practices & communicating those risks to the research community;
 - Partnering with the research community in innovative & 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 & correcting non-compliance in accordance with University and federal guidelines

Areas of Research Compliance



Training, Education, and Communication

Research Administration:

- Fiscal administration (including effort reporting, cost sharing, and cost transfers), human and animal subjects, RCR, and more

Responsible Conduct of Research (RCR):

- Research Misconduct, Data Management, Publication/Authorship, Peer Review, Mentorship, Conflicts of Interest, Collaboration

Ad Hoc Focused Training (upon request):

- Data Retention, Conflicts of Interest, Copyright, Data Management, Scientific Misconduct, RCR, and more

Communication Tools:

- ORI email list, web tools (the Guide, R&R, hot topics, *coming soon* newsletter and Best Practices Toolkit)

Risk Assessment & Education Efforts: a proactive approach to handling research compliance risks

Risk assessment allows us to:

- Identify, measure, analyze and prioritize risks
- Partner with the research community in innovative and effective ways to minimize and manage research risks

Through risk assessment, we can:

- Learn from our research community where training and educational needs exist
- Better identify and aim the most necessary and effective training and education
- Work with process owners to expand upon, strengthen and improve existing training and educational opportunities

Research Roles & Responsibilities

- **Web-based resource** to help Northwestern's research community better understand the various roles and responsibilities in the research process.
 - Describes levels of responsibility for research roles
 - Filters information by role, process, or level of responsibility
 - Generates customized reports
 - Displays results in a table or list format
 - Links to offices involved in NU's research processes

Research Roles & Responsibilities

Research Administration

Proposal Development

Proposal Review

Protocol Review

Award Acceptance

Award Management

Award Close-Out

Effort Reporting

I. General Research Administration Activities and Support

Responsibilities	PI	Unit Admin	Dept Chair	Dean's Office	VP Research	SVP B & F	OSR	ASRSP	OPRS	ACUC	IRB	ORS	TTP	Cost Studies	Auditing	ORI	Provost	OCR	Govt Affairs	Budget Office	HR	Ad Hoc Fac Comm	OGC	OR Adv Comm	Financial Ops	MULT/ORIS
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Expand All | Collapse All

Strategic

1	Direct and guide the University's research mission	I	S	S	P												S									
2	Develop and direct new University research centers	P	I	I	O												I									
3	Management of existing centers (close, transfer, or merge)	I		S	P												I									
4	Identify and enable technology related relationships and partnerships with industry and government	I	I	I	P								S					S	S							
5	Contribute to national research agenda and policies	I	I	I	I	P	S	I	I	I		I	I	I	I	I										
6	Make policies with regard to HR (e.g. fringe benefits)					O	O													P	S					

<http://www.researchroles.northwestern.edu/>

The Guide

The Guide for Research Information is a central, comprehensive on-line resource for Northwestern's research community

<http://www.northwestern.edu/research/guide/>

The Guide provides quick access to information such as:

- Use of humans and animals processes and guidelines
- Financial management of awards
- Roles and responsibilities of the research community
- Funding resources
- Research-related education offered at NU
- Contact information for research-related offices
- F&A rate information
- Sponsor information and guidelines
- Grant-writing resources

The Guide:

- Serves as a reference guide for research and research administration information
- Assists as a form of research administration training, education and communication that is always available
- Includes contact information for key personnel in the research and research administration process
- Provides up-to-date information on relevant research rules and regulations
- Educates the research community with respect to performing ethical and compliant research

Best Practices Toolkit

- A web page maintained by ORI containing recommended research tools and procedures
 - Tools and checklists related to operating environment, fiscal administration, RCR, and research safety
 - Examples include a PI Research Checkout Procedures checklist, Equipment Inventory Log, Bill of Sale template, etc.
 - Continually updated and revised as new tools become available

<http://www.research.northwestern.edu/ori/best-practices/>

Ethics and Compliance

www.northwestern.edu/ethics



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UNIVERSITY

Ethics and Compliance Northwestern

Ethics and Compliance



A part of Northwestern University's commitment to ethics and compliance is to provide community members with the information needed to act appropriately. The University's Standards of Business Conduct provides a framework for administering University resources and establishes guidelines for acceptable standards of behavior.

If you have questions or concerns, following are links to contact people, phone numbers, e-mail addresses or web sites that may assist you in understanding Northwestern's policies and procedures, as well as provide a process for voicing your concerns.

- **Academic Dishonesty/Misconduct**
- **Athletics**
- **Conflict of Interest**
- **Criminal Activity**
- **Discrimination or Harassment**
- **Environmental Issues**
- **Financial Matters**
- **Fraud**
- **Information Technology**
- **Intellectual Property Infringement**
- **Life Safety/Fire Code Issues**
- **Misrepresentation of Academic Credentials**
- **Research - Animal and Human Subjects**
- **Research - Scientific Misconduct**
- **Research - Grant Management/Misappropriation of Cost**
- **Research - Falsification of Research Effort**
- **Retaliation**
- **Sexual Harassment**
- **Student Grades/Academic Transcripts**
- **Theft**
- **Timesheet Abuse**
- **Unsafe Conditions**
- **Workplace Threat/Violence**
- **Other**



In addition to these resources, Northwestern has selected EthicsPoint to provide you with a simple way to report activities that may involve misconduct or violations of University policy. **You may file a report here or by dialing 866-294-3545.** This service is not a substitute for, nor does it supersede, any existing reporting methods or protocols already in place at Northwestern for reporting suspected problems or complaints. Instead, the EthicsPoint system provides an additional means of reporting such issues. Any suspected problems or complaints reported via EthicsPoint will be reviewed in accordance with current University procedures, including those described in the Faculty, Staff, or Student Handbooks. Northwestern policy prohibits the taking of retaliatory action against anyone for reporting or inquiring about potential breaches of University policy or for seeking guidance on how to handle suspected breaches.



EthicsPoint “Hotline”

www.northwestern.edu/ethics or 866-294-3545

- By phone or by web, a simple way to report activities that may involve misconduct or violations of University policy
- Not a substitute for existing methods or protocols for reporting suspected problems/complaints
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When to Contact ORI?

- To learn about research compliance policies
- To ask a question about a research compliance issue
- To discuss a research compliance concern
- To request training
- To help identify whom to contact at Northwestern with your research questions or concerns

- Visit <http://www.northwestern.edu/research/ori/> for key policy information and exciting initiatives related to research compliance
- Or contact ORI at: **312.503.0054** or e-mail at nu-ori@northwestern.edu