Academic Leadership Program 2016

Responsible Conduct of Research: Ethics, Research Integrity & IP

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Chief Ethics Officer– Office of Research Ethics
Overview of Today’s Presentation

• Chief Ethics Officer Introduction to Office of Research
• Ethics: Facilitating Research - interesting statistics
• Legislation governing Research with Humans and Animals.
  • Where to find resources and support through HREC, CREC and ACC.
• Legislation governing Research Integrity
• Intellectual Property and ORE’s WatCo.
Office of Research Ethics

- Chief Ethics Officer, Jannet Ann Leggett, JD
  - VPUR’s delegate for reviewing Research Integrity issues.
- Research Ethics and Integrity Advisory Committee (REIAC)
- Chief Animal Officer, Central Animal Facilities
  - Animal Care Committee (Ethics board for research requiring animal studies)
  - Central Animal Facility Advisory Committee (CAFAC)
ORE: Interesting Facts

- **HREC and CREC ± 1500 new & ongoing applications**
  - 75% increase in new applications over past five years.
  - 58% increase in application modifications, adverse events, protocol deviations and incidental findings over past five years.
  - 95% applications require revision.

- **Facilitating Research**
  - 98% deemed ‘minimal risk’ – delegated review (unique system across Canada).
  - Initial feedback within 20-30 days
  - Collaborative review agreements: WLU, UWO, Conestoga, and Tri-hospitals.

- **HREC and CREC meet year-round**
  - Meeting dates and deadlines available on H/CREC website.
  - Schedule for course projects needing H/CREC approval:
    - April 5 for project beginning in Spring term.
    - August 5 for project starting in Fall term.
    - December 4 for project in Winter term.

- **ACC meet every month, but August**
  - Meetings dates and deadlines available on ACC website.
Activities that Fall into “Research” Category

- Research funded by Tri-Councils (NSERC, CHIR, SSHRC) or other sponsored grants.
- Contract or industrial research.
- Research requiring HREC, CREC and/or ACC review.
- Fourth year theses, Masters theses, PhD dissertations.
- Major/Masters research projects.
- Applied research/research related to a consulting assignment.
Legislation requiring ORE Review?

- **Research** (TCPS2, Article 2.1)
  - “an undertaking intended to extend knowledge through a disciplined inquiry or systematic investigation…a determination that research is the intended purpose of the undertaking is key for differentiating activities that require ethics review by an REB and those that do not”
  - Knowledge that is generalizable, outside of uWaterloo.

- **Professional Skill Development** – *not* Research, *IF*…
  - Primary objective is to demonstrate to the instructor that the student has acquired job or career-related skills.

- **QA/QI** – *not* Research, *IF*…
  - Studies/surveys conducted by UWaterloo administration, faculty, staff, or student groups looking to assess how a department, group, or program is doing on an issue for administrative or operational reasons
  - Testing done within normal educational requirements for assessment, management, or improvement purposes – contains no element of research.
Applying for ethics clearance?

- Application process, step by step
- YouTube Video: How to apply for ethics clearance
- Samples of recruitment materials, information letters, consent forms, and feedback letters are available on our website
- Top 10 list: Problems that can delay the review ... and solutions
  - e.g., missing documentation, vague descriptions, generic or formulaic consent letter, inconsistent information, etc.
Responsible Conduct of Research (RCR) Framework

- All Canadian Universities who receive funds from CIHR, SHHRC, or NSERC.

Section 14, MoA, Faculty Association of University of Waterloo (FAUW)

- Integrity in Scholarly Research

uwaterloo.ca/research
Research Integrity – more than FFP

- Fabrication of data;
- Falsification of data;
- Plagiarism, **and**
- Questionable Research Practices (that may also violate uW Policy 33 – Ethical Behavior)
  - Destruction of research records;
  - Redundant publications;
  - Invalid authorship;
  - Inadequate acknowledgement;
  - Mismanagement of conflict of interest;
  - Misrepresentation in an agency document;
  - Mismanagement of grants or awards;
  - Breaches of agency policies or requirements/
    failure to obtain approvals.
Faculty’s Responsibilities?

1. Understand the difference between “academic integrity offenses” and “RCR Framework breaches”.
2. Ensure infractions are routed correctly.
3. Ensure all RCR breach allegations which come to your attention are immediately reported to the OR’s Chief Ethics Officer (VPUR’s designate).
4. Understand where responsibility for oversight begins and ends. Seek guidance from OR’s website and Chief Ethics Officer.
5. Recognize that students who breach the RCR framework should be handled through research integrity guidelines and processes.
6. Recognize that failing to report can lead to additional sanctions and negative publicity for the faculty supervisors, student researchers, administration and university.
7. Spread the word to stakeholders in the faculty about their responsibility and their opportunities for support to avoid an RCR breach.
RCR Training and Resources

- **Training** (link to ORE’s website for RCR training and resources)
  - Collaborative Institutional Training Initiative (CITI) Canada Education Program
    - Free online training for anyone with u@ e-mail address

- **Support & Investigation**
  - Chief Ethics Officer
    - Delegated by VPUR to receive, investigate and facilitate resolution of RCR Complaints.
      - 60% of complaints: authorship disputes.
Intellectual Property and OR’s WatCo

- uW Policy 73
- Principles of IP Rights
- Coming soon... WatCo’s on-line IP Reporting Tool..
INVENTORS OWN:
• Applies to all members (ie. faculty, staff, students) of Waterloo
• No obligation to share with the University

PHILOSOPHY:
• Likely to attract entrepreneurial and “business friendly” researchers
• Incentive is best motivator to stimulate commercialization

RESULT:
• UW widely acknowledged as most entrepreneurial research environment in Canada

Canada's most innovative university 24 years in a row (Maclean’s Magazine)
Principles

• Researcher's (including grad students) position at the University *must not* be contingent on the waiving of rights to IP
  • (Except in the case of an assigned “work for hire” relationship).

• Agreements requiring researchers to waive or assign IP rights *must be approved by VPUR*,
  • *(plus Associate Provost, Graduate Studies if graduate students are parties to the research).*
IP Electronic reporting Tool (2016)

- Form developed based on input from Dean’s Counsel, ADR’s, and selected faculty members
- Going live in mid-September and to be completed by faculty in sync with merit review process timeline

Policy 73 Disclosure Package

Intellectual Property Disclosure Form

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Briefly describe the IP and its intended application.
University of Waterloo’s Office of Research Ethics & Watco

- A balanced approach to research review, education and support to facilitate the flow of great ideas, innovation, and research funding within the regulatory frameworks for responsible conduct of research and research integrity.

uwaterloo.ca/research