

The University of Maine

DigitalCommons@UMaine

General University of Maine Publications

University of Maine Publications

12-14-2023

Research Compliance Newsletter, Fall 2023

Office of Research Compliance

Amanda Ashe

Follow this and additional works at: https://digitalcommons.library.umaine.edu/univ_publications



Part of the [Higher Education Commons](#), and the [History Commons](#)

This Newsletter is brought to you for free and open access by DigitalCommons@UMaine. It has been accepted for inclusion in General University of Maine Publications by an authorized administrator of DigitalCommons@UMaine. For more information, please contact um.library.technical.services@maine.edu.



Research Compliance Newsletter – Fall 2023 ❄️

1 message

Office of Research Compliance <umric@maine.edu>
Reply-To: Office of Research Compliance <umric@maine.edu>
To:

Thu, Dec 14, 2023 at 9:29 AM

[View this email in your browser](#)



Research Compliance Newsletter

Fall 2023

From the [Office of Research Compliance](#) (ORC),
part of the [Office of the Vice President for Research and Dean of the Graduate School](#) (OVPRDGS)

In this issue:

- Letter from ORC Director Amanda Ashe
- Spotlight: Revised Research Misconduct Policy
- Reminders for Researchers
 - NSF RCR Training Requirement
 - NSF Policy on Safe and Inclusive Working Environments
 - IBC Registration Form Requirement and Policy Updates
 - IRB Reminders
- New & Updated Compliance Resources
- Research Compliance in the News



Dear subscribers,

The spotlight of this newsletter is the revised research misconduct policy that was recently announced. We also share several important reminders and updates about new requirements highlighted in our last newsletter. We hope this will be a useful resource for you to refer to in the coming months.

I am thrilled to share that we recently welcomed two new Research Compliance Officer II to our [research compliance team](#): Shelby Helwig and Rachel Kasperek! The office also has plans for continued growth with an additional search set to begin in the near future. This team expansion will allow us to continually better serve the research compliance needs of the university.

Lastly, we continue to encourage you to share this newsletter widely with UMaine colleagues to help grow campus awareness and understanding of the latest research compliance news.

Best wishes for a smooth end of the semester!

Sincerely,
Amanda Ashe, Director of Research Compliance

Spotlight: Revised Research Misconduct Policy

A newly revised version of UMaine's [Policy and Procedures for Responding to Allegations of Research Misconduct \(Word\)](#) (formerly titled *Policy and Procedures on Alleged Misconduct in Research and Other Scholarly Activities*) was recently released.

This Policy revision is the culmination of a process initiated in the summer of 2022. The Office of Research Compliance (ORC) worked with the Office of General Counsel and an external subject matter expert who formed the core team updating the Policy. The team collected feedback from both internal stakeholders and three

additional external subject matter experts and worked extensively with the Faculty Senate to craft the resulting end product.

The [Research Misconduct section of the ORC website](#) has been updated to reflect the current Policy. ORC is developing further educational resources about the revised Policy and will be hosting training sessions during the Spring 2024 semester; a communication about these training sessions will be sent in the coming weeks. **All members of the research community are encouraged to review this important Policy and the resources available**, and to contact UMaine's Director of Research Compliance, Amanda Ashe (amanda.l.ashe@maine.edu), with any questions or feedback you may have regarding these changes.

Reminders for Researchers

Responsible Conduct of Research (RCR) Training for Faculty Subject to National Science Foundation (NSF) Responsible and Ethical Conduct of Research (RECR) Training

Summarized in the [Spring 2023 Research Compliance Newsletter](#)



Effective for new proposals submitted or due on or after July 31, 2023 – Faculty and other senior personnel supported by NSF must complete RCR training every 4 years. Principal Investigators (PIs) and Co-PIs subject to NSF's RECR training requirement must complete training before the Office of Research Administration (ORA) will establish the project account. For more information, see the [RCR training requirements section of the ORC website](#).

NSF Policy on Safe and Inclusive Working Environments for Off-Campus or Off-Site Research

Summarized in the [Spring 2023 Research Compliance Newsletter](#)

Update: NSF has a new requirement for organizations to have a plan in place for safe and inclusive research for any proposal that proposes to conduct off-campus or off-site research. ORA has worked with stakeholders to develop the [University of Maine System \(UMS\) Safe and Inclusive Work Environment Plan](#). Additionally, as a resource, the university has made a new *optional* training available on Collaborative Institutional Training Initiative (CITI), titled "Safe Research Environments" (see [New Optional CITI Training: Safe Research Environments](#) for more information). If you need assistance with CITI, please contact ORC at umric@maine.edu. All other questions on this topic can be directed to ORA at ora@maine.edu.

Institutional Biosafety Committee (IBC) Registration Form is Now Required

Summarized in the [Spring 2023 Research Compliance Newsletter](#)

In order to ensure all biosafety spaces are inspected and that the IBC has a record of *all* biosafety work being conducted on campus, **all labs (research and/or educational) using biological materials of any kind** must fill out a basic [IBC Registration Form \(Word\)](#).

which contains information like PI, lab locations, biosafety level (BSL), and a summary of activity. [IBC Protocols \(Word\)](#) will still be submitted to the IBC for individual projects for any non-exempt recombinant DNA (rDNA) work and/or any non-exempt work that is BSL2 or higher; these protocols will be valid for 3 years. For more information please review the [Biosafety section of the ORC website](#).

Institutional Review Board (IRB) Reminders

Do you have a student that will be conducting human subjects research this spring?

Faculty with students conducting human subjects research projects during the spring semester should submit their IRB applications as soon as possible. ***For students that hope to complete their study by June 2024, they should submit their application before February 29, 2024.***

Will you be conducting international human subjects research?

For international human subjects studies, please review the [International Human Subjects Research Guidance](#) and note that approval may take several months (even for minimal risk studies), so please plan accordingly.

New & Updated Compliance Resources

The [ORC website](#) is frequently updated with resources and information to help make gaining and maintaining compliance as easy as possible. We invite you to explore some of the new and recently updated resources that have been added to our site.

- [Office of Research Compliance: Contact Us](#) (updated)
- [Instructions for CITI Training \(Word\)](#) (updated)

Human Subjects

- [Event Reporting](#)
- [Example Experiment Flyer with Pull Tabs \(PowerPoint\)](#)
- [Example Interview Flyer with QR Code \(PowerPoint\)](#)
- [Example Survey Flyer with QR Code \(PowerPoint\)](#)
- [Does My Study Require IRB Review? Flowchart – Diagram \(PDF\)](#)
- [Does My Study Require IRB Review? Flowchart – Plain Text \(Word\)](#)
- [IRB Application Instructions \(Word\)](#) (updated)
- [Recruitment Flyer Guidance](#)
- [Research vs. Program Evaluation \(Word\)](#)
- [Sample Recruitment Templates for Postings, Emails, Scripts, etc. \(Word\)](#) (updated)
- [Site Approval Template \(Word\)](#)
- [Tips to Speed Up Institutional Review Board \(IRB\) Approval](#)

Research Misconduct

- [Policy and Procedures for Responding to Allegations of Research Misconduct \(Word\)](#)

- [Research Misconduct Overview](#) (updated)
- [Research Misconduct Policies and Procedures](#)
- [Research Integrity Standing Committee](#)
- [Reporting Research Misconduct](#)

Research Security & Export Control

We would also like to highlight a new resource from our compliance partner, [UMaine Advanced Research Computing, Security, and Information Management \(ARCSIM\)](#) about data security while traveling. This information is important for the research compliance areas of [Research Security](#) and [Export Control](#), particularly when traveling internationally.

- [Travel Guidance for Data Security from ARCSIM](#)

Research Compliance in the News

- [USC Neuroscientist Faces Scrutiny Following Allegations of Data Manipulation](#) – Los Angeles Times, Nov. 24, 2023
- [The Commerce Department Updates its Policies to Stop China From Getting Advanced Computer Chips](#) – Associated Press, Oct. 17, 2023
- [FDA Takes Definitive Step Toward the Regulation of LDTs \(Laboratory Developed Tests\)](#) – Bass, Berry & Simms Firm Publication, Oct. 5, 2023
- [Another Retraction Looms for Embattled Physicist Behind Blockbuster Superconductivity Claims](#) – Science, Sept. 27th, 2023
- [False Claims Act Warnings: A Wake-Up Call for Contractors and Universities to Bolster NIST Practices](#) – Summit7 Blogs, Sept. 20, 2023
- [A Top New York Hospital, an Unapproved Treatment and an F.D.A. Warning](#) – The New York Times*, Sept. 20, 2023
- [Harvard Considers Revoking Dishonesty Researcher's Tenure](#) – Inside Higher Ed, Aug. 29, 2023
- [Watchdog Halts Studies at N.Y. Psychiatric Center After a Subject's Suicide](#) – The New York Times*, Aug. 10, 2023
- [What Does the Historic Settlement Won by Henrietta Lacks's Family Mean for Others?](#) – Science, Aug. 7, 2023
- [Mind-Reading Tech 'Must Include Neurodivergent People to Avoid Bias'](#) – The Guardian, June 7, 2023
- [Elon Musk's Brain Implant Company is Approved for Human Testing. How Alarmed Should We Be?](#) – The Guardian, June 4, 2023
- [After Years of Controversy, National Bio-Defense Lab Opens in Kansas](#) – Associated Press, May 24, 2023
- [Research Monkey Shortage Undermines US Readiness, Panel Says](#) – Associated Press, May 4, 2023
- [US Imposes Export Controls on Companies Assisting Russia's Military](#) – Reuters, April 12, 2023
- [Addressing the Problematic Past of Animal Behavior Research](#) – The Scientist, April

3, 2023

*** NEW for Fall 2023: A free subscription to The New York Times is available to all UMaine students, staff, and faculty at Orono and Machias. See [Fogler Library: New York Times Access Pass](#) for instructions.**

ORC Website

Research Compliance Reference Sheet (PDF)

International Research

Joining or Leaving UMaine?

Contact ORC

If you were forwarded this email and you would like to receive the Research Compliance Newsletter in your own inbox once per semester,
[Subscribe to the Research Compliance Newsletter](#)

Office of Research Compliance
5703 Alumni Hall, 3rd Floor
Orono, ME 04469-5703
umaine.edu/research-compliance



ORC is part of the [Office of the Vice President for Research and Dean of the Graduate School](#)



Want to change how you receive these emails?

You can [update your preferences](#) or [unsubscribe from this list](#).

Copyright © 2023 University of Maine Office of Research Compliance, All rights reserved.

In complying with the letter and spirit of applicable laws and pursuing its own goals of diversity, the University of Maine System does not discriminate on the grounds of race, color, religion, sex, sexual orientation, transgender status, gender, gender identity or expression, ethnicity, national origin, citizenship status, familial status, ancestry, age, disability physical or mental, genetic information, or veterans or military status in employment, education, and all other programs and activities. The University provides reasonable accommodations to qualified individuals with disabilities upon request. The following person has been designated to handle inquiries regarding non-discrimination policies: Director of Equal Opportunity, 5713 Chadbourne Hall, Room 412, University of Maine, Orono, ME 04469-5713, 207.581.1226, TTY 711 (Maine Relay System).

This email was sent to kimberly.sawtelle@maine.edu

[why did I get this?](#) [unsubscribe from this list](#) [update subscription preferences](#)

UMaine Office of Research Compliance · 5703 Alumni Hall, 3rd Floor · Orono, ME 04469-5703 · USA

