RCRA Investigations

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Ask RCRA
August 15, 2024

OFFICE OF RESEARCH COMPLIANCE AND REGULATORY AFFAIRS (RCRA)

Institutional Animal Care & Use Committee

Conflict of Interest & Committment

Export Controls

Program Effectiveness

Research Integrity and Compliance

Research Security

WHAT TO REPORT?

- **Research Misconduct**: Research Misconduct is defined as "fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results."

- **Research Noncompliance**: Research noncompliance is any research conducted that fails to comply with federal regulations, state laws, or Emory University policies or procedures.

Types of Research Misconduct Concerns

- Research misconduct allegations may include concerns involving:
  - Plagiarism;
  - Falsification or fabrication;
    - Manipulating research images and/or data;
    - Changing or omitting data, graphs, images or results.

Types of Research Noncompliance Concerns

- Research noncompliance investigations may include concerns involving:
  - Protocol noncompliance;
  - Research finance issues;
  - Research privacy violations;
  - Deviations from the approved research protocol, contract, agreement, or federal regulations;
  - Human subjects research noncompliance;
  - Conflict of Interest concerns; or
  - Foreign influence
    - allegations of inappropriate or inadvertent sharing of proprietary information

HOW TO REPORT?

- If any research noncompliance or research misconduct issue arises, DO NOT investigate on your own.

- Immediately report any concerns involving research at Emory University or under Emory's oversight directly to RCRA (researchcompliance@emory.edu).
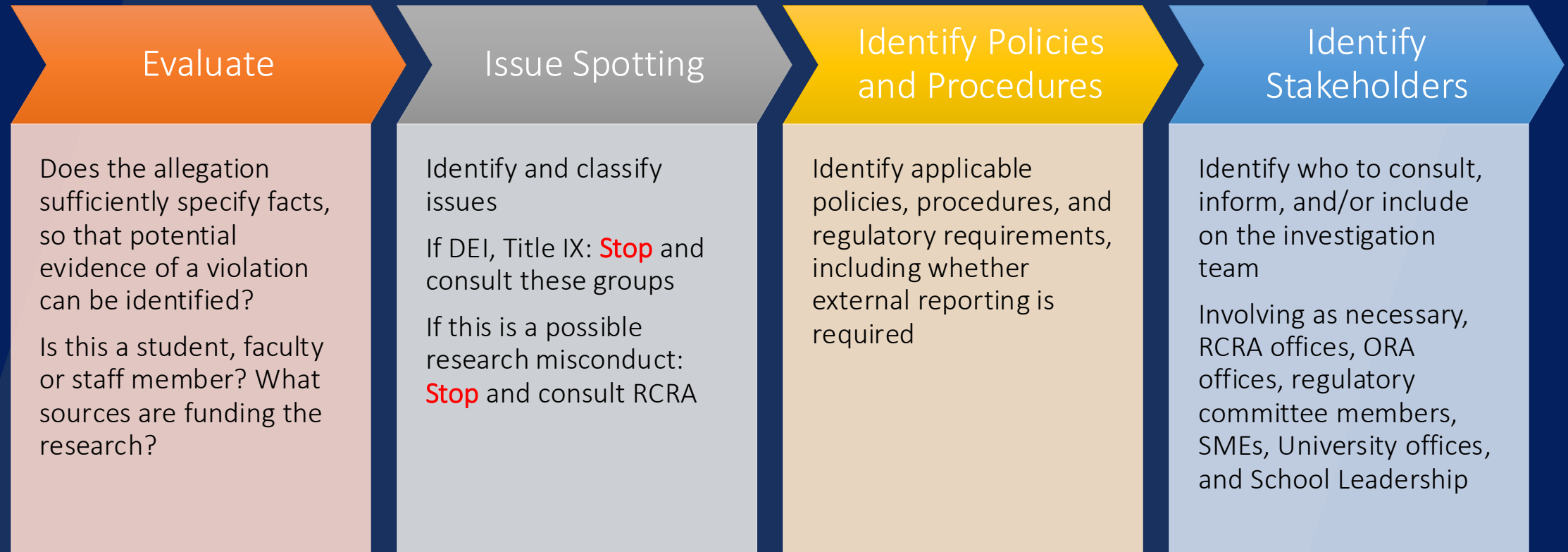
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Reporting Research Misconduct or Research Noncompliance Concerns

- To remain anonymous, report your concerns using the Emory Trust line.

- If the matter involves a Title IX or DEI issue, RCRA will forward the information you provide to the Emory DEI Office, or you can report to the Emory DEI Office directly.

- If the matter is under the purview of RCRA, then RCRA will begin the triaging process.

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RCRA Investigation Procedures

Evaluate

Does the allegation sufficiently specify facts, so that potential evidence of a violation can be identified?

Is this a student, faculty or staff member? What sources are funding the research?

Issue Spotting

Identify and classify issues

If DEI, Title IX: **Stop** and consult these groups

If this is a possible research misconduct: **Stop** and consult RCRA

Identify Policies and Procedures

Identify applicable policies, procedures, and regulatory requirements, including whether external reporting is required

Identify Stakeholders

Identify who to consult, inform, and/or include on the investigation team

Involving as necessary, RCRA offices, ORA offices, regulatory committee members, SMEs, University offices, and School Leadership

Investigation Lifecycle

Intake, Triage & Planning

Assessment & Evaluations

Analysis

Investigation Report

Case Closeout & Appeals

External Reporting – Disclosures & Notifications

EXTERNAL REPORTING: DISCLOSURE & NOTIFICATIONS

- Some federal agencies require prompt disclosures of findings of policy violations also constituting grant contract violations.

- Even if an investigation is only partially completed, preliminary findings may need to be reported, with supplemental reports made later.

- Examples of reportable findings include bullying, harassment (including but not limited to sexual harassment), inappropriate workplace conduct, failure to disclose international affiliations and funding sources and misuse of grant funds.

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Questions?