



Compliance Community

*System Compliance Program
Office of Audits & Analysis*

Research Compliance

Research compliance is especially important in a higher education setting, and responsible conduct in research is imperative to the integrity of the information produced and to the well-being of research subjects and participants.

Research compliance includes, but is not limited to: standards of care of human subjects, humane treatment of animals used in research, mitigation of conflicts of interest, and oversight of export controls. Academic research must comply with federal, state, and local laws and regulations, as well as institutional and system-wide policies.

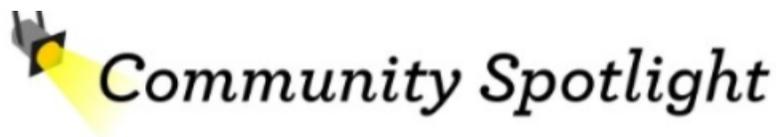
Developing and following policies and procedures related to the detection, investigation, and prevention of research misconduct is crucial to ensuring that faculty, staff, and students who engage in research adhere to the highest standards of ethics and responsibility.

A substantial portion of research funding comes from grants or sponsored programs, which require compliance with specific policies and restrictions. Federal agencies, such as the Office of Research Integrity, which oversees and directs public health service research activities, outline very specific standards and requirements for research conducted with such funds. The America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science (COMPETES) Act defines responsible and ethical conduct of research, and is critical for public trust in the areas of science and engineering. State, local, and project-specific mandates also often require compliance in order for funding to be granted.

Non-compliance when conducting research can cause both reputational and financial damages. It can also put the safety of those involved at risk. Examples include:

- A former researcher at the University of Texas MD Anderson Cancer Center swapped her own blood samples for those taken from 98 human subjects, which caused all publications related to the incident to be withdrawn and jeopardized a \$1.3 million grant issued to fund cancer research.
- A child psychiatrist at the University of Illinois at Chicago violated research rules by testing the powerful drug lithium on children younger than 13. She failed to properly alert parents of the study's risks and falsified data to cover up the misconduct. The public institution ultimately repaid all \$3.1 million used to fund the study.
- The researcher who touted the benefits of red wine and increased longevity has been charged with widespread scientific fraud, spanning 26 articles in 11 journals. His published research articles contained 145 instances of data falsification, which involved cutting and pasting photographic images and manipulating them. His grant funding of nearly \$1 million has been returned to the federal government

It is the responsibility of all researchers to become familiar with policies that govern specific areas of research. Institutional training and support for researchers is vital to fostering successful research while meeting regulatory requirements for the conduct of scientific research.





**Walter E. Horton Jr., Ph.D., Associate Vice President for
Research and Federal Relations Texas State University**

Walter E. Horton Jr., Ph.D. is the Associate Vice President for Research and Federal Relations and serves as the Chief Research Officer at Texas State University. Dr. Horton oversees the strategic and operational aspects of research compliance while upholding the scholarly mission of the university. The award, technology transfer, and contracts functions of the Office of Research and Sponsored Programs report to Dr. Horton, which involve compliance issues related to research grants, contracts, and relationships with the private sector.

Prior to joining Texas State University, Dr. Horton served as the Vice President for Research and Dean of the College of Graduate Studies at the Northeast Ohio Medical University. While supporting research compliance, he was involved in developing and teaching the curriculum related to Bioethics. Additionally, he supported the development of a new master's program in Medical Ethics and Medical Humanities.

Dr. Horton also led a laboratory research program in arthritis at the National Institute on Aging, a component of the National Institutes of Health. While at the NIH, Dr. Horton Chaired the Institutional Animal Care and Use Committee for the NIA and served on the Animal Research Advisory Committee.

Dr. Horton received his undergraduate degree in Zoology from Kent State University and his Ph.D. in Anatomy from the University of Cincinnati. He carried out a Post-doctoral fellowship in Molecular Biology at the NIH.

Dr. Horton believes that compliance is firmly grounded in the fundamental ethical principles of justice, beneficence, non-maleficence, and autonomy; in other words, fairness, do good, do no-harm and allow for individual decisions.

Compliance Hotline

The Texas State University System maintains a reporting hotline through a private contractor, EthicsPoint, to provide a confidential avenue for reporting concerns about potential waste, fraud, and abuse of resources, the lack of compliance with laws and regulations, or violations of the System's Code of Ethics. A detailed description and the opportunity to make a report can be accessed [here](#).

Subscribe

Please feel free to forward this newsletter to others who may be interested or who may benefit from the information. The goal is to expand readership to offer this ongoing resource to as many members of the TSUS community as possible. New readers can subscribe by using the link below.

Subscribe

The Texas State University System is committed to complying with all applicable laws, regulations and policies. The System compliance program advises and collaborates with components to develop effective ways to mitigate compliance risks on TSUS campuses. Serving to advance the goals of the System and its institutions, the Compliance Office offers resources, education, information and guidance while promoting a culture of responsibility and accountability.

Feedback regarding the System compliance program or the Compliance Community newsletter is welcome. Please contact [Kelly Wintemute](#) with suggestions.