



**MBIOL / PHIL 7570**  
**FALL 2023**  
**FIRST HALF**  
**WEDNESDAYS**  
**4–5:20PM**  
**GC 2900**

**TAUGHT BY**

Prof. J. C. Havstad  
PHIL / CTSI / ORIC

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**PHONE #**

(801) 581-8361

**OFFICE LOCATION**

CTIHB 451

**OFFICE HOURS**

W 1:30–3:00PM

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## **CASE STUDIES AND RESEARCH ETHICS**

**CATALOG DESCRIPTION**

An examination of research integrity and other ethical issues involved in scientific research. Topics may include scientific fraud, conflicts of interest, plagiarism and authorship designation, and the role of science in formulating social policy. This course is designed for graduate students, postdocs, & faculty.

**COURSE LOGISTICS**

First-half classes begin on Monday, August 21 and end on Friday, October 6. Since this class meets on Wednesdays from 4–5:20pm, there are 7 in-person meetings of the course. Since the course meets for 1 hour and 20 minutes, and 8 hours of RCR instruction is recommended, students should expect to attend at least 6 class sessions.

Attendance and participation at 6 class sessions, confirmed by adequate completion of relevant in-class assignments, is sufficient for earning credit (CR) in this 1-credit course overall. There will also be some online opportunities for make-up work.

**COURSE OUTCOMES**

Both the National Institutes of Health (NIH) and the National Science Foundation (NSF) require training in the Responsible Conduct of Research (RCR). The following topics are usually incorporated into those RCR instruction plans typically deemed acceptable by the relevant federal agencies:

1. Conflict of interest
2. Human and animal subjects research
3. Mentoring and being mentored
4. Safe research environments
5. Collaborative research
6. Peer review
7. Data acquisition and analysis
8. Secure and ethical data use
9. Research misconduct and policy
10. Responsible authorship and publication
11. Scientists as responsible members of society

This course is designed to cover these topics and to meet the requirements of the NIH and NSF. Students who earn CR in this course overall will have met the University of Utah's RCR requirement.

# CASE STUDIES AND RESEARCH ETHICS core syllabus

For several of the modules in the course, the selected “textbook” chapter is actually a segment from a salient National Academy of Sciences (NAS) report. These reports cannot be legally posted in full; however, all complete reports are available for free download at the website of the National Academies Press (<https://www.nap.edu/>).

Other important sources are the US government’s archive of regulation (<https://www.govinfo.gov/>) and the University of Utah’s regulation library (<https://regulations.utah.edu/>).

## MATERIALS

There are no books to buy for this class—all readings are available as PDFs on the course Canvas. Relevant materials have been organized into modules, most of which contain: a “textbook” chapter; a pair of academic articles; a report or news story to read; some relevant policy to review; a case or two which might make you go “yikes”; and some digital content (such as a recorded interview or lecture). In-person class sessions will engage with this material, as will opportunities for make-up work.

## ASSESSMENT

Performance in this course overall will be assessed on a credit (CR) / no credit (NC) basis. You need to earn 6 points to receive CR for the course. Each in-person class session presents an opportunity to earn 1 point—by participating in class and completing, to a satisfactory degree, any in-class assignments.

There are also online modules available for make-up work. One of these may be accessed and submitted for grading regardless of circumstance; after that, you must receive permission from the professor to substitute further online make-up work for in-person attendance and participation.

Both in-class and online submissions will be assigned (qualitative) letter grades. Letter grades are defined by the University of Utah (*Policy 6–100 Instruction and Evaluation*) as follows:

A / A- “excellent performance, superior achievement”

B+ / B / B- “good performance, substantial achievement”

C+ / C / C- “standard performance and achievement”

↑ PASS

FAIL ↓

D+ / D / D- “substandard performance, marginal achievement”

E “unsatisfactory performance and achievement”

Any submission graded C- or better contributes 1 point towards the 6 points needed for course credit.

# CASE STUDIES AND RESEARCH ETHICS core syllabus

## ACADEMIC MISCONDUCT

While scholastic dishonesty is not anticipated, students are subject to university policy governing these matters. Students are encouraged to familiarize themselves with *Policy 6-400 Code of Student Rights and Responsibilities*. Ignorance of the policy is not considered an excuse.

This means that neither cheating nor plagiarism is allowed in this course. Among other things: no copying from others, and no borrowing from others without proper attribution when completing written assignments. The work you submit in this class must be original work created for this class.

Here is an informal tip on how to avoid any question of plagiarism during writing: **whenever you borrow an idea from someone else**, make sure to credit that person in parentheses after the sentence or paragraph you wrote using that idea; **whenever you borrow words from someone else**, make sure to put those words in quotation marks and to credit that person in parentheses after the quote. Any sources used for their ideas or words must be cited using some sort of professional citation method (like APA, MLA, or Chicago style).

Failure to abide by these norms will be reported as mandated by the relevant university policy. Academic sanctions may result, including but not necessarily limited to: grade reduction; failing grade; probation; suspension or dismissal from the program or the university; and even revocation of certificate or degree.

## COMMUNICATION

Your TA should be your first point of contact for most queries that you might have about the course and its content. The professor is also available, however, for consultation—especially during office hours. You are encouraged to drop in during these “walk-in” times—no appointment is necessary. Come to ask questions, discuss relevant experiences, or chat about ideas. If the timeslot for regularly scheduled OHs does not work for you, request an alternative.

The professor is generally accessible via email but cannot guarantee immediate response. In case of emergency, the professor will always attend to your correspondence as promptly as possible. But during an emergency, please do not worry about obtaining permission from the professor to—for instance—miss class, use online work as a substitute for attendance, or turn something in late. Focus on getting yourself through the situations instead, and (if needed) just plan on obtaining documentation, once the crisis has passed, to secure permission for make-up work—such as a doctor’s note, incident report, obituary, etc. If you can supply that documentation, your personal emergency will always be accommodated.

Note that coursework will be available for make-up until one minute before midnight on the final day of the course (which in this case is **Friday, October 6**). Once grades are in, they are final. Following federal guidelines (FERPA), grades will never be discussed over email. Grade changes can be requested, though grades may decrease rather than increase upon re-evaluation. Finally, university add/drop policy will be followed.

## CLASSROOM BEHAVIOR

You can expect the professor to ask for your name prior to addressing you in class. The professor also aims to avoid biased and slanted language, whenever possible, and you should aim for that too. Considerate and respectful behavior is generally expected of everyone, toward everyone.

In the unfortunate case of extremely uncharitable or highly disruptive student behavior, the professor reserves the right to incorporate this behavior into determination of a student’s overall grade. Note the professor has never needed to invoke this right.

# CASE STUDIES AND RESEARCH ETHICS fine print

## *Americans with Disabilities Act*

The University of Utah seeks to provide equal access to its programs, services, and activities for people with disabilities. If you plan to seek accommodation in this class, reasonable prior notice needs to be given to the Center for Disability & Access (CDA), (801) 581-5020. The center will work together with you and the professor to make the necessary arrangements.

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## **Service Animals**

Under university policy, all animals on campus must be on a leash and under constant supervision and control. Except for service animals, no animals are permitted in University buildings or facilities. Animals may not disrupt or interfere with classroom teaching; see *Policy 3-231 Control of Animals on Campus*. Questions about specific situations should be directed to the Center for Disability & Access (CDA), (801) 581-5020.

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## **INDIGENOUS LAND ACKNOWLEDGMENT**

It is hereby acknowledged “that this land, which is named for the Ute Tribe, is the traditional and ancestral homeland of the Shoshone, Paiute, Goshute, and Ute Tribes. The University of Utah recognizes and respects the enduring relationship that exists between many Indigenous peoples and their traditional homelands. We respect the sovereign relationship between tribes, states, and the federal government, and we affirm the University of Utah’s commitment to a partnership with Native Nations and Urban Indian communities through research, education, and community outreach activities.” Please see: <https://attheu.utah.edu/facultystaff/indigenous-land-acknowledgement/> for more information.

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## *Undocumented Student Support*

Immigration is a complex phenomenon with broad impact—on those who are directly affected by it, as well as on those who are indirectly affected by their relationships with family members, friends, and loved ones. If your immigration status presents obstacles to engaging in specific activities or fulfilling specific course criteria, confidential arrangements may be requested from the Dream Center. Arrangements with the Dream Center will not jeopardize your student status, your financial aid, or any other part of your residence. The Dream Center offers a wide range of resources to support undocumented students (with and without DACA) as well as students from mixed-status families. To learn more, please contact the Dream Center, (801) 213-3697 or visit [dream.utah.edu](http://dream.utah.edu).

## **Student Wellness**

Personal concerns such as stress, anxiety, relationship difficulties, depression, cross-cultural differences, etc. can interfere with a student’s ability to succeed and thrive at the University of Utah. For helpful resources, contact the Center for Student Wellness, (801) 581-7776 or visit [wellness.utah.edu](http://wellness.utah.edu).

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## *Safety at the University of Utah*

The University of Utah values the safety of all campus community members, and the Academic Senate has endorsed in spirit: “Lauren’s Promise—I will listen and believe you if someone is threatening you.” If you are in urgent need of support, call 911 or the Utah Crisis Line, (801) 273-8255. To report suspicious activity or to request a courtesy escort, call campus police at (801) 585-2677 (COPS). You will receive important emergency alerts and safety messages regarding campus safety via text message. For more information regarding safety, and to view available training resources, visit [safeu.utah.edu](http://safeu.utah.edu).

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## **ADDRESSING (SEXUAL) MISCONDUCT**

Title IX makes it clear that violence and harassment based on sex and gender (which includes sexual orientation and gender identity/expression) is a civil rights offense subject to the same kinds of accountability and support applied to offenses against other protected categories such as race, national origin, color, religion, age, genetics, or status as (e.g.) a veteran or a person with a disability. If you or someone you know has been harassed or assaulted, you are encouraged to report it to the Title IX Coordinator in the Office of Equal Opportunity and Affirmative Action (OEO/AA), (801) 581-8365; or to the Office of the Dean of Students, (801) 581-7066. For support and confidential consultation, contact the Center for Student Wellness, (801) 581-7776. For police, contact the Department of Public Safety (DPS), (801) 585-2677 (COPS) or 911.

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## **VETERAN CENTER**

If you are a student veteran, the University of Utah has a Veterans Support Center located in the Student Union, open Monday through Friday 8am-5pm. Visit their website at [veteranscenter.utah.edu](http://veteranscenter.utah.edu) for more.

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## **CONTENT ACCOMMODATION**

Please see the relevant segment of the University of Utah’s *Policy 6-100 Instruction and Evaluation*, which will be followed.

# CASE STUDIES AND RESEARCH ETHICS modules and materials

## Research Misconduct & Policy

<p>Chapter: NAS 2017</p> <p>Articles:</p> <ul style="list-style-type: none"> <li>Rossner &amp; Yamada 2004</li> <li>Helgesson &amp; Ericksson 2015</li> </ul> <p>Report: Martinson et alia 2005</p> <p>Policy: University of Utah Policy 7-001</p> <p>Yikes: Hotz 2002, Kupferschmidt 2018</p>	Module A
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## Data Acquisition & Ethical Use

<p>Chapter: Shamoo &amp; Resnik 2015</p> <p>Articles:</p> <ul style="list-style-type: none"> <li>Leonelli 2016</li> <li>Leonelli 2019</li> </ul> <p>Report: Sterling 2011</p> <p>Policy: University of Utah Policy 4-001</p> <p>Yikes: Dalton 2002, Wiwchar 2004</p>	Module F
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## Conflicts of Interest & Commitment

<p>Chapter: NAS 2009</p> <p>Articles:</p> <ul style="list-style-type: none"> <li>Bodenheimer 2000</li> <li>Warner &amp; Roberts 2004</li> </ul> <p>Report: Fanelli 2009</p> <p>Policy: University of Utah Policy 1-006</p> <p>Yikes: Aviv 2014, Twilley 2017</p>	Module B
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## Authorship, Peer Review, Publication

<p>Chapter: Steneck 2007</p> <p>Articles:</p> <ul style="list-style-type: none"> <li>Fontanarosa et alia 2017</li> <li>Faulkes 2018</li> </ul> <p>Report: <i>Nature</i> 2014</p> <p>Policy: University of Utah Policy 7-020</p> <p>Yikes: <i>Nature</i> 2017</p>	Module G
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## Human Subjects Research

<p>Chapter: NAS 2001</p> <p>Articles:</p> <ul style="list-style-type: none"> <li>Brandt 1978</li> <li>Aronowitz 2014</li> </ul> <p>Report: Urbina 2006</p> <p>Policy: Belmont Report +</p> <p>Yikes: Katz 1972</p>	Module C
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## Mentorship in a Safe Environment

<p>Chapter: NAS 2019a</p> <p>Articles:</p> <ul style="list-style-type: none"> <li>Malmgren et alia 2010</li> <li>Ma et alia 2020</li> </ul> <p>Report: <i>Nature</i> 2007</p> <p>Policy: University of Utah Policy 1-020</p> <p>Yikes: Kevles 1996</p>	Module H
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## Animal Subjects Research

<p>Chapter: Pence 2015</p> <p>Articles:</p> <ul style="list-style-type: none"> <li>Orlans 1997</li> <li>Baker 2019</li> </ul> <p>Report: Brainard 2006</p> <p>Policy: Animal Welfare Act +</p> <p>Yikes: Semerad 2011</p>	Module D
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## The Scientist in Society

<p>Chapter: NAS 2019b</p> <p>Articles:</p> <ul style="list-style-type: none"> <li>Douglas 2000</li> <li>Kovaka 2021</li> </ul> <p>Report: Orben 2019</p> <p>Policy: National Research Act 1974</p> <p>Yikes: Deer 2011</p>	Module I
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## Collaboration & Interdisciplinarity

<p>Chapter: NAS 2005</p> <p>Articles:</p> <ul style="list-style-type: none"> <li>Ball 2019</li> <li>Berlinguette et alia 2019</li> </ul> <p>Report: <i>Nature</i> 2013</p> <p>Policy: University of Utah Policy 1-012</p> <p>Yikes: Guterman 2006</p>	Module E
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## The Replication Crisis

<p>Chapter: Gelman &amp; Loken 2014</p> <p>Articles:</p> <ul style="list-style-type: none"> <li>Kerr 1998</li> <li>Ioannidis 2005</li> </ul> <p>Report: Humphreys et alia 2013</p> <p>Policy: Wicherts et alia 2016</p> <p>Yikes: Simmons et alia 2011</p>	Module J
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