

### **Associate Vice President for Research Integrity**

The University of Rochester seeks an experienced, strategic, and collaborative leader to serve as its inaugural Associate Vice President for Research Integrity. Reporting to the University's Vice President for Research, the Associate Vice President for Research Integrity is responsible for the planning, implementation, monitoring of, and compliance with federal regulatory requirements related to research misconduct, responsible conduct of research (RCR), and conflict of interest for faculty and researchers; advancing RCR training and education; developing and administering policies relevant to areas of responsibility; and serving as a key resource for the University community with regard to issues related to integrity across the research enterprise. As a senior member of the Vice President for Research's leadership team, the Associate Vice President will partner closely with the Vice President for Research, Provost, Deans and other staff and faculty from across the University in managing compliance activities and further enhancing the University's culture of research compliance.

### **Office of the Vice President for Research**

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University of Rochester researchers are among the nation's leaders across virtually every discipline. At the University's River Campus, research spans a wide array of fields from engineering, the natural and social sciences, the humanities, and education to music and business. The [University of Rochester Medical Center \(URMC\)](#) is distinguished in professional education, biomedical research, and clinical care. It is the home of the University's health research, teaching, and patient care missions, and includes [Strong Memorial Hospital](#), the [Wilmot Cancer Institute](#), [Golisano Children's Hospital](#), and affiliated healthcare systems in the region comprising five additional hospitals and numerous clinical locations, as well as long-term care facilities.

Measures of the University's [research excellence](#) (FY 2023) include:

- \$476 million in research funding received from all sources (\$345 million from federal sources, \$43 million from corporations)
- 2,611 externally sponsored projects
- 1778 proposals submitted
- 5,000+ peer-reviewed articles published
- 77 patents issued, U.S. & foreign (FY 2022)
- 102 invention disclosures filed from 136 inventors from 31 departments and divisions (FY 2022)
- 7 copyright registrations issued (FY 2022)
- 40 new license and option agreements executed and 191 active licenses monitored (FY 2022)
- 87 agreements licenses generated revenue; total licensing revenue \$5.8 million (FY 2022)

The University actively encourages interdisciplinary collaborations and supports researchers in their pursuit of innovative solutions to global challenges.

In 2023, the University published its new strategic plan, [Boundless Possibility](#). Redefining what it means to be a modern global research institution, the plan calls for a focus on impact through new investments in innovation and growth in its areas of distinction: Biomedical and Health Innovation, Just and Equitable Societies, Musical Excellence and Innovation, The Digital Future, and Transformational Materials and Technologies. Strengthening and expanding the University's research enterprise is fundamental to success in many of these areas of focus, and in this regard the ongoing development of the Office of the Vice President for Research is crucial.

The University's first enterprise-wide [Office of the Vice President for Research](#) began to form in 2022 under a newly created Vice President for Research position. The mission of the Office of the Vice President for Research is to articulate a vision for the University's research enterprise, to position it at the forefront of research innovation, and to advance the research enterprise through a set of best-in-class resources; clear, current, and consistent policies; and subject-matter expertise across the array of functions that support world-class research. [Dr. Stephen Dewhurst](#) became the University's first permanent Vice President for Research in 2023, reporting to President Sarah Mangelsdorf. In creating the Office of the Vice President for Research, Vice President Dewhurst has steadily integrated and aligned staff, services, and resources that were distributed across different units within the Medical Center and at the River Campus. In certain cases, such as research integrity, he has created new positions.

### **Associate Vice President for Research Integrity**

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Reporting to the University's Vice President for Research, the Associate Vice President for Research Integrity (AVP-RI) is responsible for the planning, implementation, monitoring of, and compliance with federal regulatory requirements related to research misconduct, responsible conduct of research (RCR), and conflict of interest for faculty and researchers; advancing RCR training and education; developing and administering policies relevant to areas of responsibility; and serving as a key resource for the University community with regard to issues related to integrity across the research enterprise. As a senior member of the Vice President for Research's leadership team, the Associate Vice President will partner closely with the Vice President for Research, Provost, Deans and other staff and faculty from across the University in managing compliance activities and further enhancing the University's culture of research compliance.

The AVP-RI will serve as the federally mandated institutional research integrity officer (RIO) and assume responsibility for research-related financial conflict of interest federal reporting requirements. The AVP-RI must maintain currency on policies, procedures, and regulations pertaining to state laws, federal regulations, and national trends influencing issues of research integrity/compliance, and ensure that the Vice President for Research, other senior leaders, and stakeholders across the University are apprised of relevant information. The AVP-RI will also ensure that the University's policies and procedures are current, effective, and understood.

The AVP-RI must be forward-thinking and proactive in considering the impact that evolving regulations and external factors may have on University-wide research plans, programs, and operations. The AVP-RI provides vision, leadership, and oversight, and is the University-wide

resource in risk assessment and risk mitigation discussions in relation to research misconduct, conflict of interest, RCR, and research integrity. Alongside research deans from each school and key members of the Office of the Vice President for Research, the AVP-RI is a member of the Research Executive Committee.

The AVP-RI must be a highly visible member of the University community and continuously engaged with University stakeholders, communicating and demonstrating commitment to being a collaborative partner with departments and divisions across the institution. The AVP-RI will collaborate with colleagues in other units of the Office of the Vice President for Research and in other administrative areas of the University, including Office of Counsel, University Audit, URM Compliance, and University Information Technology to build a culture of compliance. The AVP-RI will also work closely with the [Faculty Research Policy Committee](#) of the Faculty Senate.

The AVP-RI is expected to be an active participant in national professional organizations, bringing back to the University ideas about regulatory changes and best practices to position the University to its fullest advantage.

Specific responsibilities of the AVP-RI position include:

### **Research Misconduct**

- Receives and evaluates allegations of research misconduct and manages the further inquiry and investigation into these allegations as each specific case requires. Coordinates with Office of Counsel, Deans' Offices, and other units to ensure appropriate institutional response.
- Interacts with federal sponsors and funding agencies in relationship to allegations, inquiries, and investigations. Manages communication with internal stakeholders/leadership as appropriate.
- Develops and/or revises written policies and procedures for responding to allegations of research misconduct, including the [Policy on Research Misconduct](#), in collaboration with Office of Counsel and other appropriate offices. Ensures policies and procedures align with federal requirements.
- Provides guidance, information, and education to faculty, researchers, staff, and students regarding the interpretation and implementation of the regulatory requirements related to research misconduct.
- Attends national workshops and meetings related to research misconduct, networks effectively with peers, and serves as a source of current information and emerging directions in this domain.

### **Conflict of Interest**

- Serves as the subject-matter expert to Deans and the Provost in the administration of the [Faculty Policy on Conflict of Commitment and Interest](#) and the [Policy on Institutional Conflict of Interest in Research Activities](#), including evaluating potential conflicts of interest and developing conflict of interest management plans.

- Advises and supports the [University's Conflict of Interest Committee](#) ("COI Committee"); serves as an *ex-officio* voting member of the committee.
- Is familiar with the University's [Policy on Conflict of Interest, Code of Conduct, and Nepotism policies](#), as well as the Medical Center's [Guidelines for Managing Faculty Conflict of Interest in Clinical Trials](#) and [Industry Interactions Policy](#).
- Assumes responsibility for conflict-of-interest reporting requirements as mandated by federal sponsors.
- Ensures conflict of interest policies are current and compliant with federal regulations.
- Provides guidance to the Vice President for Research on the overall organization and operation of the University's conflict of interest in research compliance program.
- Attends the [AAMC Forum on Conflict of Interest](#) on behalf of the institution.
- Works in close collaboration with the Office of Research & Project Administration on conflict of interest management, training, communications, and reporting.

### **Responsible Conduct of Research Compliance, Training and Education**

- In partnership with the Vice President for Research and in coordination with Dean's Offices as well as other stakeholders, develops and promotes an enhanced program of responsible conduct of research (RCR) training for faculty, researchers, staff, and students to foster a culture of compliance and integrity for scientific, research, and/or other scholarly research conduct.
- In collaboration with Dean's Offices, ensures compliance with federal sponsor RCR training requirements (e.g., National Institutes of Health and National Science Foundation).
- In collaboration with the Research Security Officer and Global Operations Director, facilitates compliance with federal research security training requirements.
- Develops written policies and procedures addressing appropriate authorship standards.

### **Research Integrity**

- Identifies gaps across the University and creates guidelines/policies pertaining to research integrity and/or compliance where necessary, e.g., creation of a policy on authorship.
- Serves as the subject-matter expert and provides advice to faculty, researchers, staff, and students reporting research integrity/compliance concerns, including concerns reported to the University's Integrity Hot Line.

### **Qualifications**

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The AVP-RI will have well-developed and tested leadership and collaboration qualities, extensive research compliance expertise, and experience working with researchers across disciplines. The successful candidate will have the highest level of integrity and a demonstrated commitment to diversity, equity, and inclusion.

Viable candidates will have at least 10 years of experience in higher education, with at least 3 years of experience working in research and/or research compliance (including research misconduct,

responsible conduct of research, and conflict of interest). If they are not coming from a peer academic or medical institution, they will demonstrate the ability to learn quickly and will have relevant research leadership experience with large, matrixed, and highly complicated organizations.

Successful candidates will bring a track record of effective leadership and collaboration and will demonstrate the following required competencies:

- A current and in depth understanding of the regulatory environment governing the conduct of academic research
- The ability to work with diverse constituents
- Experience convening and coordinating committees and working groups
- Excellent communication and organizational skills, with a close attention to details

A bachelor's degree is required; an advanced degree is preferred.

The pay range for this position is \$192,000 - \$288,000 annually, which represents the minimum and maximum compensation for this job. Individual annual salaries/hourly rates will be set within the job's compensation range, and will be determined by considering factors including, but not limited to, market data, education, experience, qualifications, expertise of the individual, and internal equity considerations.

## University of Rochester

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[The University of Rochester](#) is an R1 doctoral institution located in Rochester, New York. Founded in 1851, the University is a member of the Association of American Universities (AAU). The University is governed by a [Board of Trustees](#) and is committed to shared governance that allow the University to realize its mission and goals to the benefit of the institution, its students, faculty, and staff, and the betterment of society.

Over 30,000 people are employed full- or part-time by the University and its affiliates, including its academic campuses, medical center, and hospital system, making it the largest employer in the Rochester region and the fifth largest private sector employer in New York State. Employees include faculty, administrators, staff, researchers, residents, post-doctoral students, and healthcare providers, and represent a cross-section of economic and ethnic backgrounds and a range of professional responsibilities, skills, and objectives.

The University enrolls over 12,000 undergraduate and graduate/professional students, both domestic and international, and employs over 3,300 full- and part-time faculty. With approximately 6,700 undergraduate students and 5,400 graduate students, 18% of students identify as underrepresented students of color, and 32% are international students; roughly 21% of students receive Pell grant funding.

University of Rochester offers over [200 academic programs](#) organized into the following schools:

- School of Arts and Sciences
- Hajim School of Engineering & Applied Sciences
- Eastman School of Music
- School of Medicine and Dentistry, including graduate programs at the Eastman Institute for Oral Health and its faculty practice (University of Rochester Medical Faculty Group)
- School of Nursing
- Simon Business School
- Warner School of Education and Human Development

The University also encompasses the [Memorial Art Gallery](#), which houses a permanent collection of paintings by American and European masters, as well as sculpture and decorative arts, and offers a variety of classes for adults and children in the community; and the [Laboratory for Laser Energetics](#), an internationally renowned science and technology center conducting research in physics, fusion, optics, high-energy-density phenomena, and other fields.

University faculty, students, and alumni have been recognized for their intellectual leadership with some of the world's most notable awards, including the Nobel Prize, the Pulitzer Prize, Guggenheim Fellowships, and MacArthur Fellowships. In the last five years alone, three Rochester alumni have been named Nobel Laureates, and Rochester is consistently designated as one of the top producers of U.S. Fulbright Student Scholars.

In 2020, the University received its first [Carnegie Community Engagement Classification](#), in recognition of the University's longstanding commitment to and engagement with the City of Rochester and the surrounding region. The collaborations and partnerships between the University and local community organizations are central to many faculty- and staff-led programs and initiatives.

The University of Rochester is defined by its motto of *Meliora*, meaning "ever better." Embedded in the ideal of *Meliora* are the shared values of the University community: equity, leadership, integrity, openness, respect, and accountability.

## Finances

Supported by \$3.2 billion in endowment and investments, the University of Rochester's overall annual consolidated budget is approximately \$5 billion, including all aspects of URM. Hospital and patient care activities represent more than 75% of total revenues. In addition, Rochester alumni have generously helped advance the University's mission on behalf of students, faculty, and researchers with an annual giving rate of 22%.

The University expends over \$450 million annually for research, denoting the high value placed on scholarship at the institution. With over 60 research centers and institutes, the University allows students, faculty, and research staff to pursue their academic goals in an environment that empowers and supports their efforts.

## Leadership

[Sarah C. Mangelsdorf](#) became President of the University of Rochester on July 1, 2019. Before coming to Rochester, she served as provost at the University of Wisconsin Madison and dean of the College of Arts and Sciences at Northwestern University.

Elected to the American Academy of Arts and Sciences in April of 2020, President Mangelsdorf is a professor of psychology who is internationally known for her research on social and emotional development. As an administrator in higher education, she is known for her work on issues of academic quality, educational access, and diversity and inclusion. She is recognized for developing important strategic initiatives tailored to the goals of each institution she leads and for building financial and institutional support for those goals.

## Diversity, Equity, Inclusion, and Anti-Racism

The University believes that a diverse workforce and an equitable, respectful, and inclusive workplace culture enhance the performance of the organization and its ability to fulfill its educational, scholarly, healthcare, and community-based missions. There is additional information about the University's commitment to equity and inclusion [here](#) and information about its various University Resource Groups [here](#).

The University of Rochester is committed to fostering a culture of diversity, equity, inclusion, and belonging and to supporting employees regardless of their race, ethnicity, national origin, gender, sexual orientation, socio-economic status, marital status, age, physical abilities, political affiliation, religious beliefs, and any other factor irrelevant to a person's ability to successfully perform the responsibilities of the office, so that all employees feel valued and supported.

## Rochester and the Region

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Rochester and the broader Finger Lakes Region is a wonderful place to work and live. The area features a wide range of affordable housing options and one of the strongest public-school systems in New York State.

There are endless cultural opportunities, including concerts at the world-renowned Eastman School of Music and with the Rochester Philharmonic Orchestra. Local museums include the University's own Memorial Art Gallery, the George Eastman Museum, the Strong Museum of Play (home to the National Toy Hall of Fame), and the Rochester Museum & Science Center. Geva Theatre Center, a nationally recognized regional theater, and the Rochester Broadway Theatre League provide varied seasons of plays and musicals. The city also hosts an annual 10-day Lilac Festival and 9-day International Jazz festival, drawing over 1,500 musicians and 200,000 attendees to Rochester each year.



Rochester's vibrant and varied local restaurant and food scene offers many cuisines to explore and enjoy, and the Rochester Public Market offers year-round fresh local produce and other grocery items. Rochester is also home to Wegmans, the rapidly growing national grocery store chain.

Lake Ontario lies to the north of the city, and to the south, the Finger Lakes Region offers numerous parks, lakes, and trails, with opportunities for running, biking, hiking, and water sports. The Finger Lakes are also nationally known for viniculture and excellent independent wineries.

You can read more about living and working in Rochester [here](#).

### To Apply

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The University of Rochester has retained [Opus Partners](#) to support the recruitment of this position. Craig Smith, Senior Partner, Ann K. Adams, Associate Partner, and Abigail Maynard, Senior Associate, are leading the search. Confidential inquiries, applications, and nominations should be sent by email to Abigail ([abigail.maynard@opuspartners.net](mailto:abigail.maynard@opuspartners.net)). The search process will unfold with the greatest possible attention to candidate confidentiality. Required application materials include a resume and cover letter. The cover letter should reflect how qualifications and experience match those described in this leadership profile, including examples of demonstrated commitment to diversity, equity, and inclusion within the context of the AVP-RI role.

*The University of Rochester values diversity and is committed to equal opportunity for persons regardless of age, color, disability, domestic violence status, ethnicity, gender identity or expression, genetic information, marital status, military/veteran status, national origin, race, religion/creed, sex, sexual orientation, or any other status protected by law. Further, the University complies with all applicable nondiscrimination laws in the administration of its policies, admissions, employment, and access to and treatment in University programs and activities.*