



## CSUEB Responsible Conduct of Research (RCR) Policy

September 2019

At California State University, East Bay, all undergraduate students, graduate students, and postdoctoral researchers receiving financial support (including salaries and wages, tuition, and stipend) from NSF, NIH, and USDA-NIFA are required to receive formal instruction in ethical considerations and decision making in the Responsible Conduct of Research that is appropriate for their disciplines. In addition, all Principal Investigators, Co-PIs, and Project Directors must be aware of reporting requirements of CSUEB's Research Misconduct Policy. This policy is intended to comply with the following sponsoring agencies' requirements:

- National Science Foundation (NSF): implementation of the requirements of Section 7009 of the America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science (COMPETES) Act requires postdocs, graduate students, and undergraduate students funded through an NSF grant to receive instruction in the responsible conduct of research.
- National Institutes of Health (NIH): Notice Number (NOT-OD-10-019) requires that all trainees, fellows, participants, and scholars receiving support through any NIH training, career development award (individual or institutional), research education grant, and dissertation research grant must receive instruction in responsible conduct of research. This affects all new and renewal applications and for all continuation (Type 5) applications. This Notice applies to the following programs: D43, D71, F05, F30, F31, F32, F33, F34, F37, F38, K01, K02, K05, K07, K08, K12, K18, K22, K23, K24, K25, K26, K30, K99/R00, KL1, KL2, R25, R36, T15, T32, T34, T35, T36, T37, T90/R90, TL1, TU2, and U2R. This policy also applies to any other NIH-funded programs supporting research training, career development, or research education that require instruction in responsible conduct of research as stated in the relevant funding opportunity announcements.
- USDA National Institute of Food and Agriculture (USDA – NIFA) requires all undergraduate students, graduate students, postdoctoral researchers, and any staff participating in a research project must receive appropriate training and oversight in the responsible and ethical conduct of research.

### DEFINITIONS

Responsible Conduct of Research (RCR) is defined by NIH, "...as the practice of scientific investigation with integrity. It involves the awareness and application of established professional norms and ethical principles in the performance of all activities related to scientific research." Moreover, the NSF states that RCR is "critical for excellence, as well as public trust, in science and engineering. Consequently, education in RCR is considered essential in the preparation of future scientists and engineers."

## **SCOPE**

California State University's Responsible Conduct of Research Compliance Policy requires undergraduate students, graduate students, postdocs, and participants receiving financial support (including salaries and wages, tuition, and stipend) from NSF, NIH, and USDA-NIFA awards to receive training in Responsible Conduct of Research. The objectives of this training:

- Encourage best practices in the conduct of research and scientific investigations.
- Foster an ability to recognize an ethical choice and the ability to make a principled decision.
- Provide accessible educational opportunities and resources designed to help individuals meet Responsible Conduct of Research training requirements of the sponsoring agency.

Individuals must complete RCR training within an appropriate time frame. Failure on the part of the individual to complete the necessary training may result in termination of financial support.

It is the responsibility of the Principal Investigators to ensure that the individuals engaged in research are informed of the requirement and that the requirement has been met. Moreover, it is the responsibility of the Principal Investigator to provide mentoring in RCR through discussions of RCR topics and through oversight of individuals' research.

## **ROLES & RESPONSIBILITIES**

### **ORSP**

- Upon verification that an NSF, NIH, or USDA-NIFA award is received, ORSP staff must notify PI of this training requirement when applicable. This can be done prior to orientation.
- Providing access to RCR training to all required personnel.
- Verification of training completion.
- Reporting all instances of non-compliance to the Institutional Official.

### **Principal Investigator (PI)**

- Ensuring all personnel subject to this training complete this training within an appropriate timeframe while working on an awarded project.
- Maintaining records of completion for all personnel who are working on their funded projects that are subject to this training requirement.
- Notifying ORSP of any change in personnel to ensure compliance with this policy.