



## Angelo State University Operating Policy and Procedure

### OP 56.13: Training in Responsible Conduct of Research

**DATE:** June 23, 2017

**PURPOSE:** The purpose of this Operating Policy/Procedure (OP) is to comply with federal requirements for undergraduate students, graduate students, and postdoctoral researchers to receive training in the responsible and ethical conduct of research.

**REVIEW:** This OP will be reviewed in January every three years, or as needed. The dean of the college of graduate studies and research will coordinate revisions with the director of sponsored projects. Recommended revisions will be forwarded through the provost and vice president for academic affairs (PVPAA) to the president by July 1.

### POLICY/PROCEDURE

#### 1. Authority

[P.L. 110-69—America COMPETES Act](#), [NIH Notice Number NOT-OD-10-019](#), and [USDA/NIFA Research Terms and Conditions](#)

Section 7009 of the America COMPETES Act requires an institution applying for and receiving grant funds from the National Science Foundation (NSF) to “describe in its grant proposal a plan to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduate students, graduate students, and postdoctoral researchers participating in the proposed research project.” Additionally, the National Institutes of Health (NIH) requires certain grant applicants to provide a responsible conduct of research training plan, and the U.S. Department of Agriculture/National Institute of Food and Agriculture (USDA/NIFA) requires training in the responsible and ethical conduct of research. The requirements currently apply only to NSF, USDA/NIFA, and certain NIH grant applications; individuals applying for grants from other federal, state, and/or private agencies should follow the guidelines of the respective agency.

#### 2. Definitions

- a. Responsible Conduct of Research (RCR) – The National Institutes of Health defines RCR as “the practice of scientific investigation with integrity.” It “involves the awareness and application of established professional norms and ethical principals in the performance of all activities related to scientific research.”
- b. Responsible Conduct of Research (RCR) Training – RCR training consists of instruction in the following nine (9) instructional areas, as identified by the Office of Research Integrity of the U.S. Department of Health and Human Services:

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- (1) Data acquisition, management, sharing and ownership,
- (2) Conflict of interest and commitment,
- (3) Human subjects,
- (4) Animal welfare,
- (5) Research misconduct,
- (6) Publication practices and responsible authorship,
- (7) Mentor/trainee responsibilities,
- (8) Peer review, and
- (9) Collaborative science.

### **3. Procedure**

- a. Principal Investigators (PIs) are responsible for providing RCR training to undergraduate students, graduate students, and/or postdoctoral fellows covered by this policy within a reasonable period of time after grant funding is awarded.
- b. PIs will provide training in accordance with federal agency requirements using one or more of the following programs:
  - (1) RCR Course – Angelo State subscribes to the Collaborative Institutional Training Initiative (CITI) Program, which provides self-paced online courses on the Responsible Conduct of Research. PIs selecting this training option should direct their trainee(s) to complete the course most applicable to the proposed research project.
  - (2) PI Developed Training – Individual PIs may provide customized training in RCR, provided that the training includes a review of the nine (9) instructional areas listed in section 2.b. of this policy to the extent they are applicable to the discipline. If this customized training is provided, PIs must provide a summary of the training plan to the Office of Sponsored Projects.
- c. PIs must send verification of training to the Office of Sponsored Projects within one month of completion.

### **4. Certifications**

- a. Principal Investigator (PI) – Prior to submitting a research grant involving populations in training, the PI and co-PIs (if applicable) must confirm that they will conduct RCR training with all student and/or postdoctoral researchers according to the university's approved plan.
- b. Authorized Organizational Representative (AOR) – In compliance with the NSF's policy, the AOR will certify in the grant proposal that the institution has met the RCR training

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requirement, provided that the University's training plan is current and that the PI and co-PIs have completed their required certifications.

## **5. Records**

The Office of Sponsored Projects will maintain documentation of RCR training on each grant funded project for no less than 3 years following the end of the grant period, unless otherwise directed by the funding agency.