Responsible Conduct of Research (RCR) Procedures

Responsible Conduct in Research Introduction

Ethical and responsible conduct in research is the pillar of science. When instances of misconduct occur, it is a reminder that the guiding principles of ethical and responsible conduct must be reinforced at all stages of the research career. Of all the stages, however, it is at the beginning point where the greatest impact can be made in instilling the standards and values that scientists are expected to meet when conducting ethical research. This is the guiding force behind the requirements for the Responsible Conduct for Research (RCR) training.

Each member of the university community has a responsibility to create and foster an environment promoting intellectual honesty and the highest standards of academic integrity. This includes attributing appropriate credit for work created by others, communicating responsibilities clearly to collaborators, and practicing accurate and unbiased data collection. In addition, all Principal Investigators, Co-Principal Investigators, and Project Directors must be aware of reporting requirements of CSUB's Research Misconduct Policy.

Responsible Conduct of Research (RCR) Training Requirements

As part of the America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science (COMPETES) Act, the National Science Foundation introduced a requirement, that went into effect in January 2010, for educating all undergraduate, graduate, and postdoctoral researchers supported by National Science Foundation (NSF) awards. The National Institutes of Health (NIH) and United States Department of Agriculture - National Institute of Food and Agriculture (USDA-NIFA) and other agencies now also require students and other personnel involved in their awards to complete RCR training. The National Science Foundation's Responsible Conduct of Research (RCR) training requirement has expanded to include all faculty and senior personnel supported by NSF for proposals submitted or due on or after July 31, 2023. In 2022, NIH also updated their RCR training guidance, see NOT-OD-22-055 . Furthermore, training and education in RCR should occur not only during undergraduate or graduate studies in science, but throughout one's scientific career. RCR education can take place in seminars, workshops, or conferences on research ethics, as well as through informal conversations during mentoring, training, and laboratory meetings about ethical conduct and practices.

Authority of RCR Procedures

In accordance with the CSU Chancellor's Office Sponsored Programs General Policy Standards 401 Conduct of Sponsored Research, *ICSUAM 11002.03* and Requirements and Sponsored Programs Pre-Award Proposal Review and Approval-200 Pre-Acceptance/Spending Approvals, *ICSUAM 11002.01,* this policy is intended to comply with the following sponsoring agencies' requirements:

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- **National Science Foundation (NSF):**
  Responsible and Ethical Conduct of Research (RECR): The requirement specified in Section 7009 of the America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science (COMPETES) Act (42 USC 1862o–1), as amended, to have a plan to provide appropriate training and oversight in the responsible and ethical conduct of research to faculty and other senior personnel who will be supported by NSF to conduct research will go into effect for new proposals submitted or due on or after July 31, 2023. NSF, however, encourages the community to establish such training and oversight for faculty and other senior personnel prior to the July 31,2023, implementation. In the interim, proposers must continue to meet the guidance specified in PAPPG Chapter IX.B. All trainees (undergraduates, graduate students, or postdoctoral fellows) who receive salaries or stipend support for conducting research under an NSF award for any amount of time must receive training in RCR (more details can be found on the NSF website).

- **National Institutes of Health (NIH):**
  All trainees, fellows, participants, and scholars receiving support through any NIH training award, career development award (individual or institutional), research education grant, or dissertation research grant must receive RCR training (more details can be found on the NIH website).

- **United States Department of Agriculture - National Institute of Food and Agriculture (USDA-NIFA):**
  All undergraduate students, graduate students, and postdoctoral researchers participating in a USDA-NIFA research project must receive RCR training.

Scope of Training

All Student Researchers (undergraduate, graduate, and post-doc) from NSF, NIH, and USDA-NIFA who are hired to work (receive hourly compensation on work for hire) on research projects, are required to complete training on the responsible conduct of research (RCR).

Students must complete the components listed below:

- **Online Training**: Students must complete an online course offered through the CITI Program. GRaSP will post current links to the training website and instructions for registering for the RCR course on its Research Compliance website. Faculty Advisors will be responsible for providing the GRaSP Research Compliance Unit with evidence of CITI-RCR training completion.

- **Formal & Informal Face-to-Face Instruction (For NIH funded projects only):**
  Students must complete formal face-to-face instruction on RCR topics provided by their NIH funded program/project, as well as informal instruction for at least eight (8) hours

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for each year of the grant award. More information on formal and informal face to face instruction can be found on the [NIH Central Resource for Grants & Funding Information webpage.](#)

Accountability

- GRaSP Research Compliance unit
- GRaSP Post-Award
- Principal Investigators of sponsored projects
- Student Researchers

Compliance Roles and Responsibilities

Student Hires

The GRaSP Research Compliance Unit and Post-Award will monitor compliance of online RCR training for student hires. Upon notification of award, the Grant Analyst will inform the Principal Investigator of the RCR requirement to ensure the students complete the RCR Training Course. Students are required to complete the training within 7 working days of hire. Principal Investigators are responsible for forwarding the RCR course completion reports to GRaSP. The RCR training course is valid for a period of 4 years and must be kept current for the duration of the project. The Research Compliance Unit will report all instances of non-compliance to Human Resources who will inform students of non-compliance. The student will not be allowed to continue to work until the training has been completed.

Principal Investigators and Other Research Personnel

The GRaSP Research Compliance Unit and Post-Award will monitor compliance of RCR training for Principal Investigators and other research personnel on research grants or projects with research components. Upon notification of award, the Grant Analyst will provide assistance by notifying the PI who is responsible to ensure the RCR Training Course is completed prior to beginning work on the project. Principal Investigators are responsible for forwarding the RCR course completion reports to GRaSP Research Compliance Unit. The RCR training course is valid for a period of 4 years and must be kept current for the duration of the project. The Research Compliance Unit will report all instances of non-compliance in accordance with the CSUB Research Noncompliance Policy and Procedures.

Changes in Personnel

When there are changes in personnel and **as** additional requests to hire students are received throughout the project period, Post-Award will notify the GRaSP Research Compliance Unit on an ongoing basis to ensure compliance with these procedures.

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Noncompliance with these Procedures

Failure to comply with the CSUB's Responsible Conduct of Research Procedures will result in the application of institutional actions as set forth by the CSUB Policy and Procedures for responding to allegations of research misconduct. Failure on the part of the individual to complete the necessary training may result in termination of financial support.

Responsible Conduct of Research (RCR) Training Compliance Process Flow Chart for Student Researchers Working on Select Sponsored Programs

Post-Award Responsibilities
- The Grant Analyst will inform the Principal Investigator (PI) of the Responsible Conduct of Research (RCR) training requirements at the PI Initial meeting.

Compliance Unit Responsibilities
- The Research Compliance Analyst (RCA) will review the monthly Student Pay Spreadsheet and contact Human Resources to report any students who are non-compliant.

Human Resources Responsibilities
- If a student is non-compliant, they will not be allowed to continue work until RCR training has been completed.
- A directive from the Human Resources Department will be sent to alert the Student of non-compliance.

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