



CALIFORNIA STATE UNIVERSITY, STANISLAUS

OFFICE OF THE ACADEMIC SENATE

Academic Senate Resolution

07/AS/10/SEC/RSCAPC Resolution concerning Policy on Responsible Conduct of Research

Be it resolved: That the Academic Senate, California State University Stanislaus approves the attached Policy on Responsible Conduct of Research, and be it further

Resolved: That this policy be effective beginning with the 2010-2011 Academic Year, and be it further

Resolved: That this policy be placed in the Faculty Handbook and provided to all faculty submitting funding proposals to both the University and outside funding agencies.

Rationale: As a recipient of federal grants, CSU Stanislaus must be compliant with research conduct policy requirements of the funding agencies. The attached policy is largely drawn from NIH and NSF recommendations.

Approved by the Academic Senate on April 27, 2010

Approved by President on May 27, 2010

RESPONSIBLE CONDUCT OF RESEARCH POLICY

PURPOSE

California State University (CSU), Stanislaus is committed to the highest standards of responsible conduct in research, including the highest standards of legal and ethical conduct in its related business practices. All members of the University community are responsible to adhere to University policies and procedures, and applicable federal, state and local laws, and regulations. Faculty and staff who receive federal funding to conduct research or to supervise student researchers are responsible for ensuring all work is done in compliance with University and governmental policies. CSU Stanislaus Office of Research and Sponsored Programs will assist researchers in identifying and completing appropriate Responsible Conduct of Research (RCR) training, instruction, and guidance.

POLICY

It is the policy of CSU Stanislaus that research carried out under its auspices is distinguished by the highest standards of integrity and ethical behavior. CSU Stanislaus promotes responsible conduct by practicing high standards of ethics and requiring accountability in the development, execution, performance and dissemination of research results. This policy applies to faculty, staff, students and visiting scholars conducting research under the auspices of the University.

ORGANIZATIONAL RESPONSIBILITIES

University Administration and Research Integrity Officer

It is the responsibility of the University Administration and Research Integrity Officer to promote the highest ethical conduct in the performance of research and provide the tools for ethical conduct by disseminating to all researchers a clear statement of its policies and the consequences of violating those policies. It is the responsibility of the University Administration and Research Integrity Officer to provide training and maintain records of training in the responsible conduct of research. The training provided shall be of sufficient quality and frequency to allow achievement and maintenance of certification.

Deans, Directors and Department Heads

Departments and other administrative units have the responsibility to provide information to ensure compliance of accepted standard of professional integrity and quality, including aspects specific to their own disciplines.

Researchers

Conduct of Research: Researchers are responsible to ensure that their research behavior and activity is consistent with this commitment, as well as with University policies and procedures, and applicable federal, state and local laws, and regulations.

Publication of Research Findings: Research Integrity encompasses concern for the quality of published works, recognizing and citing the accomplishments of others, careful review of manuscripts, conferring of co-authorship only to those who have made a significant contribution and the ability and willingness of all authors to publicly defend published results.

Training and Maintenance of Certification: All researchers who are required by their funding sponsors to maintain certification in the responsible conduct of research must do so. The University Administration and Research Integrity Officer are required to provide high quality training opportunities in a timely and efficient manner in order to assist researchers in meeting this responsibility. CSU Stanislaus has contracted with the Collaborative Institutional Training Initiative (CITI) to provide online training in RCR. These online courses are open to and designed for all faculty, staff, graduate students, and undergraduate students who have an interest or focus in research and also serve to satisfy federal regulations that require RCR training as a part of grant and contract terms and conditions. The modules contain text and information about RCR, case studies, and quizzes relating to RCR. These RCR courses are not to be completed in place of the basic courses enrolled in by students under human subjects or lab animal welfare.

FEDERAL REGULATIONS

National Institutes of Health (NIH) Policy-Requirement for Instruction in the Responsible Conduct of Research in National Research Service Award and Institutional Training Grants, NIH Guide, Volume 21, Number 43. The National Institutes of Health requires that all applicants for Institutional National Research Service Award (NRSA) Research Training Grants (T32, T34) include explanation of an educational program in the responsible conduct of research. Applications that do not include a plan for RCR instruction are considered incomplete. The NIH suggests that the RCR instructional program include the following topics: conflict of interest, responsible authorship, policies for handling misconduct, policies regarding the use of human participants and animal subjects, and data management. The proposed plan must include the subject matter of the instruction, the format of the instruction, the degree of faculty participation, trainee attendance, and the frequency of instruction.

Public Health Service (PHS) Policy-In December of 2000, the Public Health Service issued a policy requiring all researchers supported by PHS funding to complete a program of instruction in the responsible conduct of research. Congress has suspended the policy and has asked the PHS to review the format and content of the policy. The Office for Research Integrity (ORI) is currently revising the policy and plans to re-release the policy in the future. The suspended policy required PHS supported researchers to engage in education on the following topics: data management and integrity, mentor/trainee responsibilities, publication practices and responsible authorship, peer review, collaborative science, human subjects, research involving animals, research misconduct, and conflict of interest and commitment.

National Science Foundation - Effective January 4th, 2010, the America COMPETES (America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science) Act Section 7009 (42 U.S.C. 1862o-1) requires that “each institution that applies for financial assistance from the Foundation for science and engineering research or education 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.”

Institutional Responsibilities include the following:

- a. An institution must have a plan in place to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduates, graduate students, and postdoctoral researchers who will be supported by NSF to conduct research. As noted in GPG Chapter II.C.1e, institutional certification to this effect is required for each proposal.
- b. While training plans are not required to be included in proposals submitted to NSF, institutions are advised that they are subject to review, upon request.
- c. An institution must designate one or more persons to oversee compliance with the RCR training requirement.
- d. Institutions are responsible for verifying that undergraduate students, graduate students, and postdoctoral researchers supported by NSF to conduct research have received training in the responsible and ethical conduct of research.

VIOLATIONS OF THIS POLICY

Failure to comply with the CSU Stanislaus *Responsible Conduct of Research Policy* will result in the application of Institutional Actions as set forth by the CSU Stanislaus *Policy and Procedures for responding to Allegations of Research Misconduct*.

Approved by the Academic Senate on 4/27/2010

Approved by President Shirvani on 5/27/2010