



# CALIFORNIA STATE UNIVERSITY CHANNEL ISLANDS POLICY MANUAL

**Academic Affairs**  
**Approved By:** Richard R. Rush

**Policy Number:** AA.11.010  
**Effective Date:** 11/30/2015  
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## Policy on Responsible Conduct of Research

### **PURPOSE:**

To outline roles and responsibilities for responsible conduct of research at California State University Channel Islands.

### **BACKGROUND:**

California State University Channel Islands (CI) students and trainees engaged in research at the undergraduate, graduate, and post-doctoral levels are expected to receive formal instruction in ethical considerations and decision making in the responsible conduct of research (RCR) that is appropriate for their disciplines and respective research careers. This policy is intended to comply with the requirements of the National Science Foundation's (NSF) implementation of the requirements of Section 7009 of the America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science Act ([42 U.S.C. 1862o-1](#)) found in the NSF Award and Administration Guide, and National Institutes of Health (NIH) requirements for all applications to the Institutional National Research Service Award (NRSA) Research Training Grants (T32, T34) per the Notice Number: [NOT-OD-10-019](#). Any other sponsor or solicitation requiring RCR training will also be covered by this policy.

### **POLICY:**

#### **Accountability:**

Senior Research Officer

Principal Investigators of sponsored projects requiring RCR training

#### **Applicability:**

All students (undergraduate and graduate) and postdoctoral positions supported by funded research whose sponsors require Responsible Conduct of Research training, such as the National Science Foundation and National Institutes of Health.

#### **Definition(s):**

**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."



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### **Policy Text:**

This CI policy requires all undergraduate and graduate students, and all postdoctoral trainees performing research on projects funded by sponsors who require it to receive training in RCR. It is the responsibility of the Principal Investigators of such sponsored projects to ensure that all students engaged in research are informed of the requirement and that they document satisfactory completion of RCR training. It is the responsibility of the Senior Research Officer to provide a campus mechanism for sponsor-appropriate RCR training for students; it is the responsibility of the Principal Investigator to use the mechanism provided or to provide suitable training in RCR, *e.g.*, through discussions of RCR topics and through oversight of students' research.

Principal Investigators will be responsible for insuring students and postdocs supported on their grants and who are subject to sponsor RCR training requirements receive the necessary training. Failure of students or postdocs to complete the necessary training and its certification may result in a delay of the hiring process or stipend initiation and will result in noncompliance with agency requirements. Extended delays may result in freezing of PI project spending until training is completed.

The Senior Research Officer will conduct regular reports of students and trainees supported by sponsors requiring RCR training, which will be matched against training records. Principal Investigators will be notified of any non-compliance. Willful non-compliance on the part of any student after 60 days may result in termination of funding and freezing of grant spending. Moreover, noncompliance on behalf the PI will result in notification to the PI's respective Chair and/or Dean/AVP.

Recertification at regular intervals may be required, as specified by the sponsoring agency.

### **EXHIBIT(S):**

[Responsible Conduct of Research Procedures - NIH and NSF](#)

[Responsible Conduct of Research Training Certification Form](#)