

## 1. PURPOSE AND SCOPE

Sam Houston State University is dedicated to the advancement of learning in a safe environment that fosters sound scholarship and professional conduct. It is a University priority to inform and educate its faculty, staff, and students about these issues. This involves the promotion of scientific integrity through training in the Responsible Conduct of Research (RCR) and applies to students, graduate students, postdoctoral fellows, and all investigators funded by federal, state, or local funds, as well as all other activities associated with the research enterprise.

## 2. DEFINITIONS

Responsible Conduct of Research (RCR) is defined 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.

## 3. POLICY

3.01 Sam Houston State University strives to maintain a research environment that promotes attention to the highest ethical standards for all sponsored and non-sponsored research. It is expected that all researchers participate in ongoing education in all core areas that comprise a comprehensive responsible conduct of research curriculum.

Responsible Conduct of Research (RCR) instruction, as defined by federal agencies and by various scientific societies, covers the following core areas:

- a. Research Misconduct
- b. Data Management
- c. Authorship
- d. Peer Review
- e. Mentoring
- f. Using Animal Subjects in Research
- g. Biosafety/Biosecurity

- h. Conflicts of Interest
- i. Collaborative Research
- j. Research Involving Human Subjects
- k. Financial Responsibility
- l. Plagiarism

3.02 All University researchers must remain compliant in all Biosafety, Institutional Animal Care and Use Committee (IACUC), Institutional Review Board (IRB), and Unmanned Aircraft Systems (UAS) policies and procedures. In addition, all research and protocols associated with these areas of research must be submitted to the compliance officer and approved before commencement of research activities.

#### 4. TRAINING REQUIREMENTS

- 4.01 Grantees must complete all training required by the Office of Research and Sponsored Programs (ORSP) by participating in the Collaborative Institutional Training Initiative (CITI) program for RCR. The training topics include: Research Misconduct, Data Management, Authorship, Peer Review, Mentoring, Using Animal Subjects in Research, Conflicts of Interest, Collaborative Research, Research Involving Human Subjects, Research Involving Recombinant Nucleic Acid Molecules or other Hazardous Biological or Chemical Agents, Financial Responsibility, Plagiarism, and Unmanned Aerial Systems (Drones).
- 4.02 The RCR curriculum and personnel required to complete the curriculum will be set by the ORSP when a proposal is submitted, and funding will not be released until required trainings are completed.

#### 5. ADDITIONAL INFORMATION AND TRAINING REQUIREMENTS

The National Institutes of Health (NIH), National Science Foundation (NSF), and U.S. Department of Agriculture (USDA) require certain categories of researchers to receive RCR training. Responsible Conduct in Research is increasingly viewed as an essential component of training, regardless of a researcher's source of funding.

Responsible Conduct in Research consists of a basic course and additional content that can be incorporated based on organizational and learner needs. It is suitable for any person involved in research such as students, staff, and faculty.

The RCR course places special emphasis on the educational needs of graduate students and postdoctoral researchers. In addition, the RCR course will provide students and other researchers a conceptual foundation to enhance the quality of in-person training.

5.01 The American COMPETES (Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science) Act of 2007 promotes the importance of the national research community's commitment to provide RCR training as an integral component of professional development of all generations of scientists and engineers.

5.02 The NSF published a revision to its NSF Proposal and Award Policy and Procedures Guide requiring that beginning January 4, 2010, institutions must certify, that, at the time of proposal submission, the institution has a plan to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduates, graduate students, and postdoctoral researchers who are supported by the NSF. Sam Houston State University has developed the Training Plan that complies with this NSF requirement. All undergraduate students, graduate students, and postdoctoral researchers supported by the NSF must complete mandatory RCR training.

In addition, for undergraduate students supported by NSF grants, principal investigators will be responsible for ensuring that these students complete the required training and ensure that the Office of Research and Sponsored Programs receives the students' CITI training completion reports. These reports are then forwarded to the Office of Research Administration.

5.03 The NIH 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 receive instruction in responsible conduct of research. This policy was effective for all new and renewal applications submitted on or after January 25, 2010, and for all continuation (Type 5) applications with deadlines on or after January 1, 2011.

This policy also applies to any other NIH-funded programs supporting research training, career development, or research education that requires instruction in responsible conduct of research as stated in the relevant funding opportunity announcements.

- 5.04 In accordance with sections 2, 3, and 8 of Title [2 Code of Federal Regulations \(CFR\) Part 422](#), institutions that conduct USDA-funded extramural research must foster an atmosphere conducive to research integrity, bear primary responsibility for prevention and detection of research misconduct, and maintain and effectively communicate and train their staff regarding policies and procedures. In the event an application to NIH results in an award, the Authorized Representative (AR) assures, through acceptance of the award that the institution will comply with the above requirements. Award recipients shall, upon request, make available to NIH the policies, procedures, and documentation to support the conduct of the training.

APPROVED: \_\_\_\_\_ <signed>  
Alisa White, Ph.D., President

DATE: \_\_\_\_\_ 5/24/2023

**CERTIFICATION STATEMENT**

This academic policy statement (APS) has been approved by the reviewer listed below and represents SHSU's Division of Academic Affairs' policy from the date of this document until superseded.

Original: November 14, 2022                      Review Cycle: Five years\*  
Reviewer: Academic Affairs Council              Review Date: Fall 2027

Approved:                     <signed>                                          Date:                     5/9/2023                      
                    Michael T. Stephenson, Ph.D.  
                    Provost and Sr. Vice President  
                    for Academic Affairs

\*Effective January 2018, Academic Policy Statements will be reviewed on a rotating 5-year schedule. To transition to a distributed review load, some policies may be reviewed prior to the 5-year timeframe, with subsequent reviews transitioning to the 5-year schedule.