

Lamar University

Responsible Conduct in Research

Policy and Procedure

THE NSF: Pursuant to the 2007 America COMPETES Act, the National Science Foundation has adopted a new certification requirement that becomes effective January 4, 2010. The new NSF Grant Proposal Guide states: "When submitting a proposal to NSF, the Authorized Organizational Representative is required to complete a certification that 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 will be supported by NSF to conduct research." The plan also includes a system to verify that the training has occurred. The plan does not have to be submitted with proposals, but NSF could request it at any time – and NSF could audit compliance. Currently, institutions are free to develop their own plans, and at present there are no NSF-recommended models.

Grantees must designate one or more persons to oversee compliance with the RCR training requirement. Grantees 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, in accordance with the plan the grantee has put in place for their organization.

Grantee shall ensure that these RCR requirements flow down to all sub-recipients, or are otherwise appropriately addressed in the sub-award instrument.

LU Policy

1. The Compliance Director for Research and Sponsored Programs Administration (ORSPA) will be responsible for maintaining documentation of compliance, informing NSF-funded faculty of the requirement when applicable and waiving specific requirements of the plan.
2. RCR (Responsible Conduct of Research) training will be required for all undergraduates, graduate postdoctoral researchers receiving pay (or working as volunteers) or receiving academic credit for participating in NSF-funded research. Upon completion of the online training, certification of the course is provided. Documentation of this certification will be required for participation in NSF funded research described above. RCR training will include the following components:
 - a) Each student must successfully complete the appropriate CITI* module of RCR training. This requirement can be waived for students who have successfully completed an RCR workshop at another institution designed to satisfy NSF's training requirement or other comparable training; the Provost will specify what constitutes appropriate documentation in these cases. Successful completion will be documented by attaching a certificate generated by the online training program or by other documentation acceptable to the Provost.
 - b) After completion of the online course, students and postdoctoral researchers must provide the certificate of completion to the Compliance Director in

ORSPA and attach a copy to the Personnel Action Form or F4.7 Request to Pay. A F3.2 or F4.7 will not be processed without the documentation and pay start date cannot be prior to date of completion of the course (unless determined comparable training has been received.)

b) PIs will certify that the student has received RCR training appropriate to the research and discipline.

3. PIs give the Compliance Director periodic updates listing the students participating in the research. The Compliance Director will facilitate this process by sending reminder emails to all faculty who are PIs on NSF grants at the beginning of each semester and before summer research begins.
4. Lamar University academic deans may amend a plan at any time after consultation with the Office of Research and Sponsored Programs and Compliance Director. Details of any amended plan will be sent to all faculty with NSF grants, the ORSP, and the Compliance Director and will be posted on the ORSPA website. At a minimum, the plan will be reviewed and updated annually, no later than July each year (beginning July 1, 2011).
5. The Associate Provost for Research and Sponsored Programs Administration will make decisions on a case-by-case basis about students whose only participation in NSF funded research falls into one of the following situations: