

RG:04

Responsible Conduct of Research Policy

I. PURPOSE

Lincoln Memorial University is committed to maintaining high standards of ethical conduct in all aspects of its work including research and education. Appropriate instruction in Responsible Conduct of Research (RCR) is an essential component of the professional development of faculty, staff, and students at all career levels.

II. POLICY STATEMENT

LMU provides training in key RCR topics through the CITI training platform. An academic researcher's exposure to RCR is not limited to a specific classroom experience. The University shares responsibility with its senior researchers, course instructors and other mentors for ensuring that students, trainees, faculty, and staff at all career levels have formal and informal opportunities to observe, model, evaluate and discuss responsible research behaviors during their time at LMU. RCR training is an important component of research education at LMU regardless of discipline, career aspiration, or source of research support. Likewise, the University recognizes specific obligations to certain federal sponsors.

Responsible Conduct of Research (RCR) training is required of all undergraduate, graduate, and postdoctoral students, as well as short-term visitors, who are funded by NSF research awards subject to the America COMPETES Act and individuals receiving support through applicable NIH training, career development awards (individual or institutional), research education grants, or dissertation research grants. These programs must be compliant with the legal, regulatory, and ethical requirements established by funding sources, professional organizations, and regulatory agencies.

RCR instruction, as defined by federal agencies and by various scientific societies, covers the following content areas:

- Collaborative Science
- Research Ethics and the Role of the Scientist
- Conflict of Interest and Conflict of Commitment
- Data Acquisition, Management, Sharing and Ownership
- Mentor/Trainee Responsibilities
- Peer Review
- Publication Practices and Responsible Authorship
- Research Misconduct
- Research Involving Human Subjects
- Research Involving Animals

III. DEFINITIONS

Responsible Conduct of Research: the ethical practice of doing research. It entails being aware of and abiding by accepted professional standards and ethical guidelines when carrying out any task connected to research.

IV. AUDIENCE

RCR training is strongly recommended for all graduate students, postdoctoral fellows, other postgraduate trainees, faculty, staff, as well as undergraduate students engaged in research. Participation is required for the following individuals:

- Graduate students, postdoctoral fellows, other postgraduate trainees, faculty, staff, and undergraduate students supported by NSF grants to the University. Support includes both salary support and funding for research expenses, e.g. dissertation improvement grants.
- Trainees at all career levels supported by NIH grants in programs defined by NOT-OD-10-019.

RCR training received during a previous career stage (e.g. undergraduate, graduate, postdoctoral, faculty, staff), either at LMU or elsewhere, does not exempt a trainee from this requirement.

V. COMPLIANCE

Failure to follow this policy can result in loss of grant funding, the ability to apply for future grant opportunities through the University, and/or disciplinary action by the Exec. Vice President of Academic Affairs.

VI. ROLES AND RESPONSIBILITIES

Researcher: Completes RCR instruction through the Collaborative Institutional Training Initiative (CITI).

Dean/Chair: Ensures that graduate students, postdoctoral fellows, other postgraduate trainees, faculty, staff, and undergraduate students within a program/school/college are aware of the RCR policy and know where and how to access CITI training.

IACUC, IRB, IBCSC: Reviews research proposals and ensures researchers have met RCR training requirements before a research project is approved.

Office of Research, Grants, and Sponsored Programs: Provides access to Responsible Conduct of Research training through the Collaborative Institutional Training Initiative (CITI). Assures that individuals awarded funding from certain federal sponsors have completed required RCR training before funding is accepted.

VII. APPLICABLE STATUTES, REGULATIONS, AND RELATED POLICIES

RCR training is designed to meet the following requirements:

- NSF of the America COMPETES Act Implementation of Section 7009
- NIH training grants requirements as described in Notice, Update on the Requirement for Instruction in the Responsible Conduct of Research NOT-OD-10-019

IX. PROCEDURE

- 1.) Researcher completes Learner Registration through the Collaborative Institutional Training Initiative, selecting Lincoln Memorial University as the Organization Affiliation.
- 2.) Researcher registers for training modules related to applicable research.
- 3.) Researcher achieves certification for completing training through CITI. These certifications are kept on file and are accessible by the ORGSP.
- 4.) Researcher provides proof of certification when proposed research is under review by IACUC, IRB, and/or IBCSC.

X. CONTACT INFORMATION

For more information regarding this policy, please contact the Office of Research, Grants, and Sponsored Programs.

XI. DOCUMENT HISTORY

Effective: 04-24-2024

- [CITI Training](#)