

Responsible Conduct of Research Training

Academic Affairs – Research

CWU Policy 502-04

Effective: March 2, 2022

Policy Review Date: YEAR

Policy Executive: Provost and Executive Vice President of Academic Affairs

Responsible Office/Unit: Dean of Graduate Studies and Research

Policy Statement:

Applicability:

Contents:

Policy

Appendix A – Responsible Conduct of Research Training Procedures

(1) Purpose:

This policy is intended to help sensitize the university research community to the wide range of ethical and professional issues that must be considered to ensure a climate of research integrity and to ensure compliance with the National Science Foundation (NSF) and the National Institutes of Health (NIH). All undergraduates, graduate students, and postdoctoral researchers supported by NSF funds; and all trainees, fellows, participants, scholars, and participating faculty (PIs/CO-PIs) supported by NIH funds are required to complete training in the responsible and conduct of research (RCR).

(2) Policy Statement:

In adherence to section 7009 of the America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science (COMPETES) Act (42 U.S.C. 18620-1), Central Washington University requires education in RCR for all undergraduates, graduate students, and postdoctoral researchers supported by NSF funds; and all trainees, fellows, participants, scholars, and participating faculty (PIs/CO-PIs) supported by NIH funds. Graduate Studies and Research is responsible for coordinating, developing, implementing, tracking appropriate training (online and face-to-face), and providing oversight of RCR. RCR training for faculty supported by NSF and other funding agencies is strongly encouraged though not required.

The Dean of Graduate Studies and Research or other designee through the Provost/VP for Academic & Student Life is responsible for this policy and relevant appendices.

History:

*Responsibility: Dean of Graduate Studies and Research; Authority: Provost/VP for Academic & Student Life;
Reviewed/Endorsed by: Provost's Council 07/12/2011; 2/18/2020; 1/25/2022;ELT; Review/Effective Date:
02/09/2022; 08/17/2011; 06/17/2020; UPAC; Review/Effective Date: 06/17/2020; 03/02/2022; Approved by: A.
James Wohlpart , President
Reformatted and Assigned new Policy Number - Previous Policy CWUP 5-130-070, September 2024
Procedure CWUR 2-30-010 attached as Appendix A, June 2025*

Appendix A - Responsible Conduct of Research Training Procedures

(1) Purpose:

The following procedures ensure compliance with Central Washington University policy, CWU 502-04 Responsible Conduct of Research Training Policy, and outlines the steps necessary for students/researchers supported by the National Science Foundation (NSF) and/or the National Institutes of Health (NIH) to complete the required Responsible Conduct of Research (RCR) training. Furthermore, this procedure indicates the responsibilities of Graduate Studies and Research and NIH/NSF principal investigators (PIs) to coordinate, develop, implement, and track a successful RCR training program.

- A. NSF supported research - The university is utilizing the Collaborative Institutional Training Initiative (CITI) online program to provide mandatory training in RCR. This training will be required for all undergraduate students, graduate students, and postdoctoral researchers supported by NSF. These individuals will be referred to as 'students/researchers' throughout this procedure.
- B. NIH supported research - The university is utilizing the CITI online program to complement required in-person RCR training which will be provided through various training modalities (e.g., case studies, discussion groups, mentoring, lectures, etc.). The online and in-person training will be required for all trainees, fellows, participants, scholars, and participating faculty (PIs/CO-PIs) supported by NIH. These individuals will be referred to as 'students/researchers' throughout this procedure.

(2) Responsibilities of Graduate Studies and Research:

- A. The Dean of Graduate Studies and Research, or the dean's designee, is responsible for providing appropriate RCR training and oversight to students/researchers who will be supported by NSF and/or NIH grants.
- B. The dean's designee, will oversee compliance with the RCR training requirement and develop tracking mechanisms to verify that all students/researchers supported by NSF and/or NIH grants have satisfactorily completed RCR training. CITI RCR completion reports and other in-person training documentation will be kept in the official grant file in Graduate Studies and Research and retained until the grant records are officially destroyed in accordance with university, state and federal retention policies.
- C. Prior to the submission of an NSF/NIH proposal, the dean's designee will collect a signed 'Certification of Responsible Conduct of Research (RCR) Training' form from the PI, which certifies that the PI accepts responsibility to adhere to this RCR policy/procedure.
- D. When CWU receives an NSF/NIH grant award that includes student/researcher support, the dean's designee will send an initial reminder email to the PI that includes the following information:
 - 1. Reiterating the mandatory RCR training requirements for all students/researchers – whether enrolled at CWU or at another institution – supported by an NSF/NIH grant, whether in the form of salary/wages, stipends, or participant support, must be completed when receiving funds from the grant;

2. Requesting the names of all students/researchers who will be supported on the NSF/NIH grant-funded project;
 3. NSF and NIH supported research - Instructing the PI to provide copies of each student's/researcher's CITI RCR completion report to the dean's designee;
 4. NIH supported research only - The dean's designee providing the PI with times/dates for additional in-person RCR training opportunities and proper documentation of training for students/researchers to adhere to NIH's guidelines of at least eight contact hours of RCR training. This is in addition to online CITI RCR training.
- E. On a quarterly basis, the dean's designee will send additional email reminders to PIs requesting an updated list of any new/additional students/researchers who will be supported on the relevant NSF/NIH grant-funded project.
- F. On a monthly basis, the dean's designee will request a financial report from the Grant and Contract Accounting office, which lists all students/researchers who received support from all active NSF/NIH grants. Any student/researcher who has failed to satisfactorily complete the RCR training will be deemed out of compliance and the PI contacted. At that time, the student/researcher's support (e.g. salary/wages, stipends, or participant support) may be placed on temporary hold until the training requirements are satisfactorily met.

(3) Responsibilities of Principal Investigators (PIs):

- A. Prior to the submission of an NSF/NIH proposal that will include students/researchers, the PI will submit a signed 'Certification of Responsible Conduct of Research (RCR) Training' form to the dean's designee, which indicates the following:
1. The PI's responsibility for ensuring NSF/NIH's RCR completion requirements are met;
 2. The PI's responsibility to provide the dean's designee the names of all students/researchers who will be involved at any point on the grant-funded project;
 3. The PI's responsibility to send an updated list of any new/additional students/researchers on the grant-funded project to the dean's designee;
 4. NSF and NIH supported research - the PI's responsibility to provide copies of each student's/researcher's CITI RCR completion report to the dean's designee;
 5. NIH supported research only - the PI's responsibility to ensure that students/researchers are attending additional in-person RCR training opportunities and providing the proper documentation of training. This is to adhere to NIH's guidelines of at least eight contact hours of RCR training.

(4) Responsibilities of NSF-Supported undergraduate students, graduate students, and postdoctoral researchers:

All undergraduate students, graduate students, and postdoctoral researchers – whether enrolled at CWU or at another institution – participating in research supported by NSF are required to complete CWU's online RCR training provided through CITI.

(5) Responsibilities of NIH-Supported trainees, fellows, participants, scholars, and participating faculty (PIs/CO-PIs):

- A. All trainees, fellows, participants, scholars, and participating faculty (PIs/CO-PIs) – whether enrolled at CWU or at another institution – participating in research supported by NIH are required to complete CWU's online RCR training provided through CITI and additional in-person training provided through various training modalities (e.g., case studies, discussion groups, mentoring, lectures, etc.). At least eight contact hours of RCR training is required for NIH supported students/researchers.

The Dean of Graduate Studies and Research or other designee through the Provost/VP for Academic & Student Life is responsible for this procedure.