FLORIDA	OFFICIAL
POLYTECHNIC	UNIVERSITY
UNIVERSITY	ACADEMIC POLICY

Subject/Title: Responsible Conduct of Research (RCR)
FPU Policy Number: FPU-12.0012AP
_X_ New Policy __ Major Revision of Policy __ Minor Technical Revision of Policy
Date First Adopted: 1/12/2018
Date Revised:
Responsible Division/Department: Office of Research Services
Initiating Authority: Provost & Executive VP for Academic Affairs

A. APPLICABILITY/ACCOUNTABILITY:

This policy is applicable to all University faculty, staff, and students engaged in sponsored research activities, regardless of the source of funding.

B. PURPOSE:

The integrity of research conducted at Florida Polytechnic University is of the utmost importance to the institution as well as to the public and our research sponsors. Florida Poly is committed to promoting and supporting the ethical and responsible conduct of research across all disciplines so that our researchers are provided an environment in which they may continue to conduct leading-edge research, maintain the public's trust in the excellence of our research, and prepare current and future generations to contribute to research discoveries that will address national and global needs.

C. POLICY STATEMENT:

All members of the University community share responsibility for maintaining standards to assure ethical conduct of research and detection of abuse of these standards. It is expected, therefore, that all researchers maintain adequate education in the core areas that comprise a comprehensive responsible conduct of research (RCR) curriculum. As Florida Polytechnic University is committed to promoting a culture of ethical and responsible research, all faculty, staff, students, and visitors engaged in research are encouraged to pursue training in this area.

D. RESPONSIBLE CONDUCT OF RESEARCH (RCR):

1. Florida Polytechnic University has an overall institutional philosophy of creating and maintaining an environment for research that conforms to the highest ethical principles, fosters intellectual honesty and integrity, and encourages scientific advances of the highest quality. Researchers of all disciplines agree that shared values of honestly conveying research information, accurately reporting findings, efficiently using resources, and objectively reporting results are the tenets of RCR.
2. The core areas that comprise a comprehensive RCR curriculum, as indicated by the U.S. Office of Research Integrity, include:

a. **Data Acquisition, Management, Sharing, and Ownership:** Accepted practices for acquiring and maintaining research data. Proper methods for record keeping and electronic data collection and storage in scientific research. Includes defining what constitutes data; keeping data notebooks or electronic files; data privacy and confidentiality; data selection, retention, sharing, ownership and analysis; data as legal documents and intellectual property, including copyright laws.

b. **Conflicts of Interest and Commitment:** The definition of conflicts of interest and how to handle conflicts of interest. Types of conflicts encountered by researchers and institutions. Includes topics such as conflicts associated with collaborators, publication, financial conflicts, obligations to other constituencies, and other types of conflicts.

c. **Research Misconduct:** The meaning of research misconduct and the regulations, policies, and guidelines that govern research misconduct. Includes topics such as fabrication, falsification, and plagiarism; error vs. intentional misconduct; institutional misconduct policies; identifying misconduct; procedures for reporting misconduct; protection of whistleblowers; and outcomes of investigations, including institutional and federal actions.

d. **Publication Practices and Responsible Authorship:** The purpose and importance of scientific publication and the responsibilities of the authors. Includes topics such as collaborative work and assigning appropriate credit, acknowledgments, appropriate citations, repetitive publications, fragmentary publication, sufficient description of methods, corrections and retractions, conventions for deciding upon authors, author responsibilities, and the pressure to publish.

e. **Collaborative Science:** Research collaborations and issues that may arise from such collaborations. Includes topics such as setting ground rules early in the collaboration, avoiding authorship disputes and the sharing of materials and information with internal and external collaborating scientists.

f. **Mentor / Trainee Responsibilities:** The responsibilities of mentors and trainees in pre-doctoral and postdoctoral research programs. Includes the role of a mentor, responsibilities of a mentor, conflicts between mentor and trainee, collaboration and competition, selection of a mentor and abusing the mentor/trainee relationship.

g. **Animal Welfare:** Issues important to conducting research involving animals. Includes topics such as the definition of research involving animals, ethical principles for conducting research on animals, federal regulations governing animal research, institutional animal care and use committees and the treatment of animals.

h. **Human Subjects:** Issues important in conducting research involving human subjects. Includes topics such as the definition of research involving human subjects, ethical principles for conducting human subjects research, informed consent, confidentiality and privacy of data and patient records, risks and benefits, preparation of a research protocol, institutional review boards, adherence to study protocol, proper conduct of the study and special protections for targeted populations (e.g., children, minorities, and the elderly).

       i. **Peer Review:** The purpose of peer review in determining merit for research funding and publications. Includes topics such as the definition of peer review, impartiality, how peer review works, editorial boards and ad hoc reviewers, responsibilities of the reviewers, privileged information and confidentiality.

E. RCR TRAINING REQUIREMENTS:

1. Recipients of awards from the National Science Foundation (NSF), the National Institutes of Health (NIH), and the USDA National Institute of Food and Agriculture (NIFA) are required to comply with specific requirements to ensure appropriate RCR training. Researchers applying for, and receiving, support from NSF, NIH, and NIFA will need to be familiar with these respective regulations, as well as provide documentation of appropriate training to the Office of Research Services (ORS).
2. Only those instructional areas applicable to the grant funded research project are required to be covered. For example, a chemistry project might not involve the use of human subjects; the human subjects module would therefore not be required as part of the training. Regardless of funding, however, the core ethical values comprising a comprehensive RCR curriculum are expected to be upheld in all research conducted at the University and research team education in all applicable areas is strongly encouraged.

F. PROCEDURE:

1. Investigators, co-investigators, post-docs, graduate students and undergraduate students will be required to certify completion and recertify their training every three (3) years.
2. RCR training will be offered through online courses as approved by the Director of ORS. In addition to on-line courses, for NIH grants, an additional 8 contact hours of face-to-face instruction will be required.
3. Training must be completed in accordance with the terms of the award and as required by ORS within the first 30 days of an award to the institution. Documentation to verify training completion shall be timely submitted to ORS for record keeping.
4. University subrecipients/subawardees are duly required to comply with this policy and may be required to complete training modules offered by the University in the event the subrecipient/subawardee entity cannot produce suitable means to verify training completion.

G. NONCOMPLIANCE:

Failure to comply with this policy within specified time frames may constitute grounds for disciplinary action. Disciplinary action is based upon a reasonable investigation of the noncompliance and is consistent with the severity of the violation. A range of examples includes, but is not limited to, additional training/monitoring for minor violations up to limits being placed on the use of awarded funds for the project, and/or loss of privilege to apply for new grant funding until the required training has been brought into compliance.

H. RCR RESOURCES:

- **The Federal Office of Research Integrity (ORI) – RCR Resources**:
  https://ori.hhs.gov/general-resources-0

- **The National Academies Press – <u>On Being a Scientist: A Guide to Responsible Conduct in Research</u>**: https://www.nap.edu/catalog/12192/on-being-a-scientist-a-guide-to-responsible-conduct-in

- **NSF – RCR Resources**: https://www.nsf.gov/bfa/dias/policy/rcr.jsp

- **NIH – Research Integrity Resources**:
  https://grants.nih.gov/policy/research_integrity/index.htm

- **USDA – Responsible and Ethical Conduct of Research**: https://nifa.usda.gov/responsible-and-ethical-conduct-research