

# Office of Research

## Guideline #8

### Research Compliance Training Required for WSU Researchers

#### WASHINGTON STATE UNIVERSITY

Revised January 2020

#### Introduction

WSU researchers represent many disciplines and utilize a variety of research methodologies. Researchers are guided by numerous federal, state, local, and institutional rules and regulations that require researchers to complete specific trainings in order to ensure the highest research integrity. The trainings described in this guideline assist WSU employees and students to comply with mandated requirements.

#### Section I. Responsible Conduct of Research (RCR)

The following mandates, regarding the training and mentoring of researchers, research employees, and students in RCR apply:

- The **National Science Foundation** has implemented this law in [PAPPG Chapter II.C.1 \(d\)](#) and [Chapter IX.B](#).
- The [United States Department of Agriculture/National Institute of Food and Agriculture](#) (2 CFR 422) also requires an RCR program to be in place for funded research.
- The **National Institutes of Health**: Notice number [NOT-OD-10-019](#) includes a face-to-face instruction requirement for trainees, fellows, participants, and scholars receiving support through a number of NIH programs, specifically those with a training component.

In addition to those above, the Office of Research is applying internal RCR requirements as outlined below.

#### Responsible Persons

The Vice President for Research (VPR) is the WSU Institutional Official who oversees the WSU required trainings and the RCR Plan. The VPR also ensures that subsequent plans for certification and compliance are properly promulgated.

This Guideline serves as the Institutional RCR Plan required by the NSF. The VPR has implemented the following:

- All faculty, staff, professional, graduate, and undergraduate students involved in the design, conduct, oversight, or reporting of applicable creative activities, research, and scholarship are required to take RCR training, provided by Collaborative Institutional Training Initiative (CITI).
- The faculty and/or Principal Investigator (PI) are responsible for ensuring that all employees and professional, graduate, and undergraduate students complete RCR training and other required training as outlined in this Guideline. The Office of Research will send out regular reminders

regarding required RCR training.

- Projects funded by NIH grants that are subject to NOT-OD-10-019 above, or similar requirements from the Funding Opportunity announcement, require face-to-face mentoring or instruction in addition to the coursework such as the CITI training. The face-to-face component must include at least 8 substantive contact hours either through a course or seminar (such as those listed in this guideline), PI-led class time or lab instruction focused on RCR, and/or small group discussions.

The PI is responsible for ensuring completion of RCR training and to mentor all students, employees, and postdoctoral researchers involved in applicable creative activities, research, and scholarship. The PI must have a program to inform, monitor, and train these employees and students in RCR. The training in MyResearch is available for the investigators to use for this purpose. Please refer to [the WSU Faculty Manual Section II.C.1 – Faculty Responsibilities, Faculty Code of Professional Ethics](#) for additional information.

**Required RCR Training** is provided through [Collaborative Institutional Training Initiative \(CITI\)](#), via MyResearch, to be completed every 4 years or at least once during each career stage.

### **Available RCR In-Person Training Resources**

In addition to the required CITI training above, some departments also provide in-person training specific to the field of study and/or the lab where the research is being conducted. These courses and seminars qualify as face-to-face training required for NIH grants. If you are interested in one of these trainings please contact the unit directly for more information. Some examples of departmental trainings are:

- CHEM 398. Introduces ethics and diversity and chemistry, including RCR. Required for chemistry majors, and open to students in other majors. Typically offered fall semester.
- PHIL 365 Biomedical Ethics, PHIL 530 Bioethics, and PHIL 540 Ethics and Social Science Research. Strong components on science and scientific research, responsible and ethical conduct of research. Courses aimed primarily at life science graduate students. Some philosophy students take these courses as well.
- NEP 520 Research Methods Ethics. Explores scientific conduct and misconduct, publishing research, and basic principles of human and animal research ethics. Addresses the broad span of different types of research in the unit and includes special integrated research.
- iPBS August Orientation and Leadership Retreat. This mandatory orientation for College of Veterinary Medicine PhD students, offered each August, includes an RCR seminar event.
- ED RES 563 Principles of Research. Graduate course focused on methods in educational research and designing research questions that contains a RCR component.
- ED RES 564 Qualitative Research. Graduate course focused on qualitative research available to graduate students in the College of Education.
- PharmSci 577 Responsible Conduct in Biomedical Research. Course for pharmaceutical sciences Ph.D students or Pharm.D students with permission. Course is consistent with NIH training grant requirements, and students on NIH training grants are eligible to attend the NIH-required modules.
- The Elson S. Floyd College of Medicine Training in Responsible Conduct of Research series.

- Contact the Office of Research with questions regarding whether a course not listed might fulfill the NIH requirements.

#### Mentoring Resources:

- The [NSF PAPPG](#) provides examples of mentoring activities.
- [National Postdoctoral Association](#).
- National Academy of Sciences Report (*available to read free online*), "[Enhancing the Postdoctoral Experience for Scientists and Engineers: A Guide for Postdoctoral Scholars, Advisers, Institutions, Funding Organizations, and Disciplinary Societies](#)," 2000. Chapter 8.

## **Section II. Conflict of Interest (COI)**

The University recognizes that outside financial interests can facilitate opportunities for innovation, collaboration, and support. To ensure that its reputation and research programs are not compromised by even an appearance of inattention to this matter, WSU has policies in place—consistent with federal guidelines—that require the reporting and management of the potential COI of its faculty, administrators, and staff. The following mandates regarding the management of COI have been issued:

- **WSU Executive Policy 27 (EP 27)**, "[Washington State University Ethics, Conflicts of Interest, and Technology Transfer](#)."
- **Department of Health and Human Services (HHS)** (42 CFR 50 Subpart F) [§ 50.601–07 Promoting Objectivity in Research](#) (See also [NIH COI FAQs](#)).
- **National Science Foundation (NSF)**, as implemented in [Proposal and Award Policies and Procedures Guide \(PAPPG\) Chapter IX.A](#).

A COI, as defined in EP 27, means a significant financial interest held by an investigator or research employee and/or specific members of his or her family which could affect the design, conduct, or reporting of research and scholarship activities. This includes technology transfers and start-up entities that use WSU resources or intellectual property.

**Required Financial COI Training** is provided through CITI via MyResearch.

- Public Health Service ([PHS and adopting awardees](#)): upon receipt of an award, the PI and Co-I must complete online CITI FCOI training.
- WSU personnel with COI Committee management plans: upon issuance of the management plan, the managed personnel must complete the online CITI FCOI training.
- Link to Training in MyResearch: <https://myresearch.wsu.edu/Training/OldAvailableTraining.aspx>

For more information regarding the University policies and implementation of COI rules and regulations, see the [WSU Conflict of Interest](#) web page.

## **Section III. Additional Required Trainings**

Other directed training for issues related to a specific project may be required, including the following:

- [Institutional Animal Care and Use Committee \(IACUC\) training](#), required for WSU personnel involved in research, teaching, training, and production using live vertebrate animals.

- [Human Subjects training](#), required for WSU personnel engaged in human subject research.
- [Radiation Safety Training](#), required for WSU personnel working with radioactive materials and/or radiation machines.
- Awareness training for specific areas of importance in research:
  - [Biosafety](#)
  - [Export Controls](#)
  - [Hazardous Materials Shipping](#)

## **Section IV. Policies and Regulations**

Additional Federal, state, and institutional policies and regulations associated with ethics, RCR in sponsored activity, COI, and WSU employment include the following:

- Ethics:
  - [RCW 42.52.360 Authority of Executive Ethics Board](#)
  - [WSU Executive Policy Manual #27](#)
  - [BPPM 10.21 \(April 01\) Summary of Ethics Laws and Policies](#)
  - [BPPM 10.22 Possible Ethics Violations](#)
  - [Ethics in Public Service Training](#)
  - [US DHHS-Office of Research Integrity](#)
- Employee Conduct Requirements:
  - [WSU's Faculty Manual](#)
  - [Administrative Personnel Handbook](#)
  - [Title 357 of the Washington Administrative Code for Personnel](#)
  - [BPPM 10.20 \(Feb 09\) Improper Governmental Actions \(Whistleblower Act\)](#)
  - [Responding to Allegations of Scientific Misconduct Policy](#)
  - Provided by [Human Resource Services](#) via conferences and online information
    - New Employee Orientation
    - New Employee Safety Orientation
- Student Conduct Requirements:
  - [Student Conduct Office—Standards of Conduct for Students](#)
  - [Graduate School Rights and Responsibilities related to Graduate Students](#)
- **All WSU employees and students involved in applicable creative activities, research, and scholarship shall:**
  - Understand and be familiar with applicable Washington State laws and WSU policies and procedures,
  - Complete required training to perform the duties required of them in their role in the Research or Sponsored Activity as a WSU employee or student, and

- Be familiar with the goals and direction of WSU and the Research or Sponsored Activity in which they are involved.

## **Section V. Other Research-Related Training Resources**

[Collaborative Institutional Training Initiative \(CITI\)](#) for live animal and human subjects training.

[Making the Right Moves: A Practical Guide to Scientific Management for Postdocs and New Faculty, Second Edition.](#) © 2006 by the Howard Hughes Medical Institute and Burroughs Wellcome Fund. All rights reserved. Available for download free online.

### **Seminars and Live Training:**

- [Professional Development Series](#) sponsored by the Graduate School.
- Responsible Conduct of Research Lecture, Office of Research Assurances, contact Mike Kluzik at 335-9553 or [mkluzik@wsu.edu](mailto:mkluzik@wsu.edu).
- Biosafety Lecture, Office of Research Assurance, contact Levi O'Loughlin at 335-1585 or [levi.oloughlin@wsu.edu](mailto:levi.oloughlin@wsu.edu).