I. BACKGROUND
Northern Arizona University (NAU) adheres to the highest ethical standards in the conduct of research, scholarly and creative activities and is committed to academic integrity. The University’s acceptance of public and federal funds for research, instruction, and other activities obligates the University to comply with responsible conduct of research (RCR) training requirements (federal) for faculty, students, post-doctoral scholars, research and other staff on projects supported by external funds.

II. PURPOSE
This policy is intended to insure that all NAU personnel engaged in research, scholarly or creative activities are adequately trained in the basic principles of ethics in research. Additionally, this policy assists NAU in meeting the RCR training and compliance requirements of the National Science Foundation (NSF)-The America COMPETES Act (Creating Opportunities to Meaningfully Promote Excellence in Technology, Education and Science); 42 U.S.C 18620-1, Section 7009, and the National Institutes of Health (NIH) policy on the instruction of the RCR (NOT-OD-10-019; “Update on the Requirement for Instruction in the Responsible Conduct of Research”).

III. APPLICABILITY
While this policy applies specifically to “undergraduate and graduate students, post-doctoral scholars, trainees, associates and staff engaged in research,” all NAU individuals (faculty, research staff, students, volunteers, extended campus research staff and research administrators) conducting or proposing to conduct research, scholarly or creative activities through the University are strongly encouraged to enroll and complete NAU RCR training requirements.

At NAU, beginning January 4, 2010, this policy applies to all academic disciplines and departments including arts and letters, business, education, engineering, forestry and natural sciences, health and human services, social and behavioral sciences, and the cline library.
IV. TRAINING
Whether a research, scholarly or creative activity is sponsored or not sponsored by an external agency, all individuals identified in this policy are required to complete a set of online-modules in RCR. Individuals identified in this policy that are to be engaged in sponsored activities funded by Public Health Services (PHS) such as NIH and other federal agencies (NSF) are required to complete online and face-to-face instruction as described in the NAU RCR Training Plan. The training modules cover the basics of research ethics in the nine instructional areas proposed by the Office of Research Integrity (Department of Health and Human Services) and based on the nature of disciplines involved.

Individuals engaged in non-sponsored research or scholarly activities are required to complete RCR training within 60 days of the establishment of their intent to conduct such activity and provide documentation to the Office of Vice President for Research through their respective departments. Individuals engaged in sponsored research or scholarly activities must complete RCR training as soon as possible upon notification of award by an external sponsoring agency but not later than 60 days after such notification.

V. NON-COMPLIANCE
Failure to fulfill RCR training requirements in accordance with this policy or restrictions imposed in this policy may subject individuals to sanctions (such as prohibition from participation in research or scholarly activities) and/or subject to University disciplinary actions under other NAU policies and procedures pertinent to non-compliance with University policies.

VI. INSTITUTIONAL RESPONSIBILITY
The University is responsible for appointing a Responsible Official for certifying the existence of a RCR training plan and for providing appropriate RCR administration, training, documentation and oversight of RCR.

VII. INVESTIGATOR RESPONSIBILITY
It is the responsibility of the PI to ensure that his/her staff and students are trained in accordance with this policy and to facilitate proper documentation of training as required by NAU and/or external agencies. Training must be conducted and documentation of training must be provided in a timely manner to facilitate proper certification prior to submission of grant proposals through the Office of Grant and Contract Services.

VIII. RECORD KEEPING
The Responsible Official or designee shall maintain all training records for at least 5 years from the date of training.

IX. DEFINITIONS
Research refers to systematic investigation designed and conducted to develop or contribute to the body of knowledge and includes basic and applied research as well as product development. All forms of scholarship and creative activities are included.
Responsible Conduct of Research (RCR) is the practice of scientific investigation with integrity. It involves the awareness and application of established professional norms and ethical principles in the performance of all activities related to scientific research.

Research Misconduct is fabrication, falsification, or plagiarism in proposing, performing, or reviewing research or in reporting research results. It does not include honest error or honest differences in interpretations or judgments of data.

Principal Investigator (PI) or Project Director (PD) is an individual formally designated by the University who is responsible for the administrative and programmatic leadership of the project. PI/PD is an individual (including but not limited to employees and students) acting for or on behalf of the University, who is responsible for the design, conduct, or reporting of sponsored or scholarly activities. Typically this will include the principal investigator (PI), co-principal investigator (CO-PI) and co-investigators, project director/coordinator and any other person identified as senior or key personnel for the project. Key personnel can also be graduate students, post-doctoral scholars and staff members.

Sponsored Project refers to research, training, or service activity funded by an outside agency (such as NIH, NSF etc.) either through a grant, contract, or other transaction.

Responsible University Official is responsible for the University wide research administration.

Institutional Official means the individual within the Institution, or his/her designee, that is responsible for the oversight of RCR program. The Associate Vice President for Research is the Institutional Official.

X. REFERENCES
2. NAU Misconduct in Research Policy, April 8, 2010.
5. RCR Resources, The Office of Research Integrity, US Department of Health and Human Services (DHHS), Public Health Service (PHS).