

Austin Peay State University's Guidelines on the Responsible Conduct of Research (RCR)

Philosophy Statement

It is the responsibility of all APSU employees to demonstrate excellence and high ethical standards in all activities regarded as "research" by societal norms. These guidelines provide guidance and resources to conducting research in an ethical and responsible manner at APSU.

Rationale Statement

These guidelines are in alignment with the National Science Foundation's Implementation of Section 7009 of the 2007 America COMPLETES Act, which stipulates that all institutions conducting research must have a Responsible Conduct of Research (RCR) plan. The RCR plan must contain guidance on the appropriate training, oversight, and ethical* standards in research. *Note: the term "ethics" is a broad statement meant to describe performing appropriate research that complies with societal expectations (i.e., norms) which simply cannot be described herein in any substantive detail. Therefore, it is the onus of the University to foster a working environment that supports integrity via cultural expectations of ethical excellence*.

*For more detailed descriptions of Responsible Conduct of Research please review the following publications and internet links.

National Science Foundation: Responsible Conduct of Research (RCR)

<https://www.nsf.gov/bfa/dias/policy/rcr.jsp>

<https://www.nsf.gov/bfa/dias/policy/rcr/rcrfaqs.jsp>

<https://nationalethicscenter.org/>

<http://www.onlineethics.org/CMS/about/UserGuide/18848.aspx>

Integrity in Scientific Research: Creating an Environment That Promotes Responsible Conduct
2002 release from The National Academies of Sciences, Engineering, and Medicine.

<http://www.nationalacademies.org/hmd/Reports/2002/Integrity-in-Scientific-Research-Creating-an-Environment-That-Promotes-Responsible-Conduct.aspx>

Introduction

APSU is committed to a working environment that supports research with the highest integrity. To this end, these guidelines will identify specific APSU policies that direct researchers in the best practices of research activities if after review, researchers identify shortcomings or errors in APSU's RCR, then please contact the Office of Research and Sponsored Programs or the chairperson of the Research Council to amend APSU's RCR.

Responsibilities of the University

The APSU administration has a responsibility to the community, state, nation and the Academy, to ensure research is performed with integrity. Therefore, the following policies are in place to ensure all APSU employees perform research that satisfies societal norms and garners public trust.

1:001 Conflict of Interest

http://www.apsu.edu/policy/1s_governance_organization_and_general_policies/1001-conflict-interest.php

1:002 Code of Ethics for Members of APSU Board of Trustees

http://www.apsu.edu/policy/1s_governance_organization_and_general_policies/1002-code-ethics-members-apsu-board-trustees.php

1:011 Student and Faculty Participation in Development of Campus Policies and Programs

http://www.apsu.edu/policy/1s_governance_organization_and_general_policies/1011-student-and-faculty-participation-development-campus-policies-and-programs.php

1:013 Student Code of Conduct

http://www.apsu.edu/policy/1s_governance_organization_and_general_policies/1013-student-code-conduct.php

1:016 Preventing and Reporting Fraud, Waste, or Abuse

http://www.apsu.edu/policy/1s_governance_organization_and_general_policies/1016-preventing-and-reporting-fraud-waste-or-abuse.php

1:017 Grievance and Complaint Procedures for Employees

http://www.apsu.edu/policy/1s_governance_organization_and_general_policies/1017-grievance-and-complaint-procedures-employees.php

2:002 Research (Faculty, Staff, and/or Student) involving Human Subjects

http://www.apsu.edu/policy/2s_academic_policies/2002-research-faculty-staff-andor-student-involving-human-subjects.php

2:007 Research Involving Animals

http://www.apsu.edu/policy/2s_academic_policies/2007-research-involving-animals.php

2:019 Misconduct in Research and Other Creative Activities

https://www.apsu.edu/policy/2s_academic_policies/2019-misconduct-research-and-other-creative-activities.php

2:034 Faculty and Academic Staff Abroad Policy

http://www.apsu.edu/policy/2s_academic_policies/2034-apsu-faculty-and-academic-staff-abroad-policy.php

2:037 Use of Copyrighted Materials

http://www.apsu.edu/policy/2s_academic_policies/2037use-copyrighted-materials.php

2:047 Intellectual Property, Patents, and Copyrights

http://www.apsu.edu/policy/2s_academic_policies/2047-intellectual-property-patents-and-copyrights.php

2:048 Extra Compensation and Compensation for Services rendered during Summer Session, Intersession, and Outside Active Contracts

http://www.apsu.edu/policy/2s_academic_policies/2048-extra-compensation-and-compensation-for-services-rendered-during-summer-session-intersession.php

2:051 Faculty Appointments

http://www.apsu.edu/policy/2s_academic_policies/2051-faculty-appointments.php

2:052 Academic Freedom and Responsibility

http://www.apsu.edu/policy/2s_academic_policies/2052-academic-freedom-and-responsibility.php

2:053 Annual Faculty Evaluation Review

http://www.apsu.edu/policy/2s_academic_policies/2053-annual-faculty-evaluation-review.php

2:055 Research and Scholarly Activities

http://www.apsu.edu/policy/2s_academic_policies/2055-research-and-scholarly-activities.php

2:056 Grant Proposal, Application Preparation, and Award Policy

http://www.apsu.edu/policy/2s_academic_policies/2056-grant-proposal-application-preparation-and-award-policy.php

2:057 Grants Award and Declination Policy

http://www.apsu.edu/policy/2s_academic_policies/2057-grants-awarddeclination-policy.php

2:058 Grants Management: Budgeting, Spending, and Responsibilities

http://www.apsu.edu/policy/2s_academic_policies/2058-grants-management-budgeting-spending-and-responsibilities.php

2:059 Sponsored Research Incentive Program

http://www.apsu.edu/policy/2s_academic_policies/2059-sponsored-research-incentive-program.php

2:060 Indirect Cost and Salary Recovery

http://www.apsu.edu/policy/2s_academic_policies/2060-indirect-cost-and-salary-recovery.php

2:061 Time and Effort Reporting for Grant-sponsored Activities

http://www.apsu.edu/policy/2s_academic_policies/2061-time-and-effort-reporting-grant-sponsored-activities.php

4:013 Contracts

http://www.apsu.edu/policy/4s_business_and_finance_policies/4013-contracts.php

4:014 Purchasing

http://www.apsu.edu/policy/4s_business_and_finance_policies/4014-purchasing.php

4:015 Travel Policy

http://www.apsu.edu/policy/4s_business_and_finance_policies/4015-travel.php

4:038 Environmental, Health, and Safety Policy

http://www.apsu.edu/policy/4s_business_and_finance_policies/4038-environmental-health-and-safety-policy.php

4:041 Safeguarding Nonpublic Financial Information

http://www.apsu.edu/policy/4s_business_and_finance_policies/4041-safeguarding-nonpublic-financial-information.php

5:014 Outside Employment and Extra Compensation

http://www.apsu.edu/policy/5s_personnel_policies/5014-outside-employment-and-extra-compensation.php

5:035 Nepotism

http://www.apsu.edu/policy/5s_personnel_policies/5035-nepotism.php

5:043 Employee Code of Conduct

http://www.apsu.edu/policy/5s_personnel_policies/5043-employee-code-conduct.php

6:003 Equal Opportunity, Affirmative Action and Nondiscrimination

http://www.apsu.edu/policy/6s_nondiscrimination_harassment_and_sexual_misconduct_policies/6003-equal-opportunity-affirmative-action-and-nondiscrimination.php

Responsibilities of Researchers

Each APSU employee is independently responsible for the ethical execution of research activities. The scope of these responsibilities are all encompassing and should require initial training in, but not limited to, APSU sectioned Collaborative Institutional Training Initiative (CITI) training modules, such as the ethical use of human and animal subjects (IRB and IUCAC). Researchers are also responsible for any subordinate person or persons participating in research and therefore, these participants may also require specific training. Additionally, researchers are responsible for the budgets associated with research and following the policies that govern spending. Researchers are expected to publish or distribute research findings that accurately describe the analysis and interpretation of data generated from the research. Note, this description of Responsibilities of Researchers is not considered completely descriptive but rather, it relays a “spirit” that attempts to satisfy the societal norm expectations of research. One example of societal expectations would be “integrity of research findings” – reporting the data accurately and without biases. Another example of a societal norm expectation is the production of original research (i.e., no plagiarism or infringement of intellectual property).

APSU employees who participate in research activities also have an obligation to the University, state, country, and to the integrity of their discipline to report misconduct. University researchers have a privileged position in society where society’s resources are provided to researchers in *good faith* and therefore, only with trust can the research enterprise continue.

Responsibilities of Students and Other Approved People Participating in Research

It is the responsibility of every research participant to behave in an ethical manner. It is the expectation of the University that research participants will receive the appropriate training as determined by the Principle Investigator (“PI,” typically an APSU employee*). Should there be any question as to who the PI is then these participants are obligated to contact the Director of the Office of Research and Sponsored Programs to determine the PI and the appropriate training needed.

*Should an APSU student participate in a non-APSU research program, then the University is NOT responsible for the execution of training or the outcomes of the research. However, the student is still responsible for all University policies as they may relate to Student Conduct and any laws/regulations/policies of the State of Tennessee and/or the United States.

Conclusion

This document simply cannot conceivably cover the entirety of ethics that govern research. Therefore, this document attempts to convey a spirit of responsibility to integrity. Frankly, the foundation of the higher education enterprise is built on societal trust in the integrity of the Academy; in short, the Academy is a community of learners and explorers of knowledge that through a process of self-policing, only products of high integrity are generated and then

disseminated to the larger society for consumption. It is the “societal trust” which is at the center of this document. APSU is committed to maintaining and nurturing the **trust** of our community, state, nation, and world for today, tomorrow, and generations to come.

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