

Responsible and Ethical Conduct of Research Training Policy

Introduction

The National Science Foundation (NSF) announced on August 20, 2009 (74FR42126) that effective January 4, 2010, “each institution that applies for financial assistance from the foundation for science and engineering research or education describes in its grant proposal a plan to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduate students, graduate students, and postdoctoral researchers participating in the proposed research project.” In its implementation, and in the revised Proposal and Award Policies and Procedures Guide (PAPPG), NSF puts emphasis on the institution’s responsibility to certify, to oversee, and to verify the training plan. Occidental College, a recipient of NSF and other external grants, sets forth the Responsible and Ethical Conduct of Research Training Policy herein described to comply with the regulatory requirements in Section 7009 of the America COMPETES Act, and to uphold our excellence in research.

Policies

1. The Dean’s Office supports at least one seminar/workshop on research ethics each year, to be planned and offered through the Undergraduate Research Center.
2. Effective January 4, 2010, all undergraduate students, graduate students, and post-doctoral fellows participating in research at Occidental College are required to complete the applicable training modules and certification, available at http://departments.oxy.edu/sro/proposal_preparations/before_you_start_links/PEERRS_instructions.html .
It is the responsibility of the principal investigator (PI) of the grant, or the faculty supervisor as appropriate, to direct each participating student or post-doctoral fellow to complete the training and certification requirements. For those who are participants under an NSF-funded grant, a copy of the certification should be submitted to the Sponsored Research Office for the record.
3. Any non-compliance or significant deviation shall be immediately reported to the Sponsored Research Office, and to the College’s Compliance Officer who will work with the Dean of the College to determine an appropriate course of action.
4. The institution’s Authorized Organizational Representative shall certify to NSF in each grant proposal submission that the College has this training policy.

Related College Policies on Ethics and Compliance

1. [Three Institutional Review Boards \(IRBs\):](#)
 - [Human Subjects Research Review Committee \(HSRRC\)](#)
 - [Institutional Animal Care and Use Committee \(IACUC\)](#)
 - [Institutional Biosafety Committee \(IBC\)](#)
2. [Intellectual Property](#)
3. [Policy and Procedure on Research Misconduct](#)
4. [Conflict of Interest and Disclosure of Financial Interests Related to Sponsored Projects](#)
5. [Student Handbook: Academic Ethics including plagiarism](#)

Approved by Eric Frank, Dean of the College and Vice President for Academic Affairs
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