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## 1 Policy statement

Centenary College of Louisiana is a small liberal arts college that primarily offers undergraduate degrees, with the addition of a select number of graduate programs in the arts, humanities, natural sciences, and social sciences. The focus of the curricula in all disciplines is to engage students and faculty together in an environment that fosters intellectual growth in the context of integrity and moral responsibility. Central to this mission is the practice of faculty-guided, student-led research, and it is the belief of the college that the basis for sound academic discovery is rooted in ethical research practices. Because education in academic integrity is such an integral part of research training, it is the policy of Centenary College that all faculty engaging in research be informed in the area of responsible conduct. Moreover, it is the responsibility of the faculty advisor to ensure that all personnel participating in research have received training prior to or within an appropriate amount of time after beginning the project. This applies to undergraduates and graduate students, technicians, and post-doctoral researchers as applicable. It is the responsibility of the institution to document all completed training where required by funders, and to investigate all allegations of misconduct. If substantiated, it is the responsibility of the college to report instances of misconduct to any funding agencies involved and to cognizant federal authorities.

## 2 Reason for policy

Centenary College is committed to providing a high quality educational experience for all students, which includes working closely with them to complete research projects and to advise independent studies projects. It is essential that any research experience be complemented with ethics training so that students understand the full context of their research and its potential societal impacts. Faculty researchers at Centenary College are committed to providing a full experience to students, and thus have a responsibility to provide mentoring in the area of ethical conduct. In addition, certain training is required to receive funding from certain federal agencies, including the National Science Foundation and the National Institutes of Health, and training plans must be provided in proposals to these agencies.

On August 2, 2007, Public Law 100-69, otherwise known as the AMERICA COMPETES ACT, was passed. Section 7009 specifically addresses the Responsible Conduct of Research and reads as follows:

The [NSF] Director shall require that each institution that applies for financial assistance from the Foundation for science and engineering research or education describe 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.

NIH requires that all trainees, fellows, participants, and scholars receiving support through any NIH training, career development award (individual or institutional), research education grant, and dissertation research grant must receive instruction in responsible conduct of research.

#### 4 Policy/procedures

##### 4.1 Definition of “Responsible Conduct of Research”

The National Institutes of Health defines “Responsible Conduct of Research” as the practice of scholarly investigation with integrity. It involves the awareness and application of established professional norms and ethical principles in the performance of all activities related to scholarly research.

Although issues can vary slightly depending on the academic discipline and individual program of research, topics that fall under the broader topic of research integrity include the following:

- environmental health and safety
- use and protection of human subjects and lab animals
- safe and responsible use of biological materials
- conflicts of interest—financial and otherwise
- publication, intellectual property, and data management
- error, negligence or misconduct
- fabrication, falsification, and/or plagiarism
- response to violations of ethical standards
- responsible authorship
- mentor/trainee relationships
- peer review
- collaborative science

##### 4.2 Background and context

Regardless of funding sources, it is in the best interest in the college and its mission that all students and faculty engaging in research receive training in responsible research conduct. Providing this training to all participating individuals is therefore in compliance with both federal guidelines and internal policies.

### 4.3 Responsible conduct of research training

Individual faculty members and/or the department undertaking or supervising research will be responsible for providing training to any personnel who will be participating in research. Each department is responsible for ensuring that all research active faculty have been trained in the responsible conduct of research.

Discussions of the responsible conduct of research are regularly woven into class instruction, and first-year seminars typically address plagiarism. As part of their orientation process, every incoming Centenary student is required to pledge to uphold the institution's academic code of honor.

It is expected that faculty members teaching courses involving research will educate students in the responsible and ethical conduct of research; many departments have their own customized introductions to the principles of responsible research that ground every discipline at the College. For example, CHEM 361S Chemical Literature and Retrieval, which is required for all chemistry majors, trains students in interpreting and properly citing data from scientific publications. The course also covers data ownership with a discussion on who is responsible for ensuring that data are accurately reported and the potential consequences for falsifying data (with case studies).

**Human Subjects:** Centenary's Institutional Review Board (IRB) reviews all research protocols involving human subjects to ensure compliance with federal guidelines and professional and ethical standards. Federal regulations mandate that research involving human subjects must be reviewed, approved, and subject to continued IRB review.

**Vertebrate Animals:** Centenary's Institutional Animal Care and Use Committee (IACUC) oversees animal programs, facilities, and procedures ensuring the appropriate care, use, and humane treatments of animals being used for research, testing, and education. The IACUC reviews all research protocols involving vertebrate animals to ensure compliance with guidelines and professional and ethical standards. The IACUC is responsible for providing guidance and oversight for the animal care and use program and for helping to maintain compliance with applicable laws, regulations, and policies.

**Recombinant DNA and Synthetic Nucleic Acid Molecules:** All research involving recombinant or synthetic nucleic acid molecules conducted or sponsored by Centenary must be conducted in compliance with current federal, state, and local laws and regulations. Centenary's Biosafety Committee reviews all research involving recombinant DNA and synthetic nucleic acid molecules.

Additional web-based training is required for individuals working research projects funded by NSF or NIH and should be arranged by contacting the coordinator for grants and faculty endowments.

### 4.4 Implementation

All required training must be completed within the first semester of research, first year of independent study, or before end of a summer project. Researchers will provide this

training as needed for their projects. Additional, in-person and/or web-based training may be required for students, technicians, or postdoctoral researchers funded by the National Institutes of Health or National Science Foundation. Participants should sign in or otherwise document their training and report any sources of federal funding. For all research conducted with federal funding requiring RCR training assurance, the instructor administering the training will maintain a training attendance record, a copy of which will be provided to the coordinator for grants and faculty endowments. The coordinator for grants and faculty endowments will keep the record of students trained for such federally funded projects on file for a period of eight years from the start date of the project.

#### 4.5 Allegations of fraud or misconduct in research

Centenary College holds expectations that all faculty and students participating in research will do so with integrity. The College maintains consistent policies and procedures for investigating allegations of misconduct and reporting them to the appropriate agency as dictated by federal law. Misconduct, as defined by the National Institute of Health is:

Research misconduct is defined as fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results, according to 42 CFR Part 93. It is not considered to be honest error or differences of opinion.

The coordinator for grants and faculty endowments is responsible for the dissemination of information on the policies governing the responsible conduct of research at Centenary College. All allegations of misconduct must be reported to the provost and dean of the college who will conduct an informal inquiry to be completed within 60 days of the allegation. All reasonable measures will be taken to ensure the privacy of the individual reporting the misconduct is protected. The accused individual will receive a copy of the report and will be allowed to comment. If no further investigation is required, documentation should be kept for three years. If further investigation is required, it should begin within 30 days. In the case of further investigation, the president shall appoint an *ad hoc* committee, chaired by the associate provost and consisting of two faculty from departments that differ from the accused, and one outside member of high ethical standing. This panel must complete its work within 120 days unless there are unusual and extenuating circumstances, and will submit its conclusions in writing to the provost and dean of the college. The provost and dean of the college will review the case and, on the merits of the findings, recommend appropriate action to the president of the College. The person against whom the allegations were lodged shall receive copies of the written reports of the inquiry and investigation and shall have the right to appeal the decision to the president. Following any appeal, the president's decision is final.

In all cases regarding possible misconduct of researchers holding federal, state, or private grants, the College will follow the guidelines issued by the respective agencies or foundations and will submit written notification, etc., as required.

In the case of the National Institutes of Health, the associate dean shall ensure that the

College is in compliance with all requirements of 42 CFR Part 50, Subpart A that are not covered by the above policy and procedures.

As a result of the investigation and reporting requirements imposed by law and by sound practice, information on the subject of an investigation may become public and may affect the reputation of the person whose activities are investigated or that of the person or persons who made the initial allegation. If the allegation is not substantiated, diligent efforts shall be made to restore the reputation of the person alleged to have engaged in misconduct and to protect the positions of those who in good faith made the allegation.

5 Website address for this policy: <https://www.centenary.edu/directories/offices-services-directory/provost-2/information-for-faculty/grants/>

6 Who approved this policy: Provost and Dean of the College

7 Origination/revision dates

Origination Date: 5/1/2018

Responsible College Official: Provost and Dean of the College

Responsible Office: Office of the Provost