Interim Policy
National Science Foundation
Responsible Conduct of Research Training Requirement
University of Kentucky Compliance Process

Background. The America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education and Science (COMPETES) Act was signed into law in August 2007. Section 7009 requires that “each institution that applies for financial assistance from the National Science 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.” These individuals are referred to collectively as “Students” below.

Key features:
--Each institution must have an education plan
--The plan is not required to be included in each proposal, but is subject to NSF review
--One or more persons must oversee compliance
--There must be verification that each Student has received the training

Applicability. Proposals submitted to NSF on or after January 4, 2010

University of Kentucky Plan. The University of Kentucky will meet this requirement by using the Responsible Conduct of Research (RCR) Course provided by the Collaborative Institutional Training Initiative (CITI). CITI is a web-based training tool that has been utilized by UK for many years to provide Human Subject Protection training. There is no cost to the Student or the University for the use of CITI. The University will likely develop a different plan in the future that will include a more customized and varied approach to RCR training.

To use CITI, the Student first chooses one of the discipline areas below:
- Biomedical
- Social and Behavioral
- Physical Science
- Humanities
- Engineers

The Student must then complete each module and pass tests covering the material:
1. Introduction to Responsible Conduct of Research
2. Research Misconduct
3. Data Acquisition and Management
4. Responsible Authorship
5. Peer Review
6. Mentoring
7. Conflicts of Interest
8. Collaborative Research
Instructions for using CITI are attached, including contact information for assistance.

Responsibilities. The Principal Investigator is responsible for informing each Student of this requirement and ensuring that the training is completed within three months of beginning work on an NSF grant, by the end of the academic year or the end of the grant period, whichever occurs first.

Each Student supported by an NSF grant must log into CITI, complete each module and pass the tests. This must be done within three months of beginning work on an NSF grant, by the end of the academic year or the end of the grant period, whichever occurs first.

The Office of Sponsored Projects Administration will include information about the requirement with each new NSF account. When a student successfully completes the CITI RCR course OSPA will receive notice. OSPA will periodically review a list of Students supported by NSF grants and select samples to verify that each Student has completed the CITI course.

Please note that RCR is in addition to any other research compliance training that may be required of the Student (e.g., human subjects protection, care and use of animals, laboratory safety, etc.)

For questions regarding CITI registration contact the Office of Research Integrity (ORI):
Crystal McClure, cdmay1@email.uky.edu, 859-257-9428
Stephanie Morris, samo227@email.uky.edu, 859-257-0582
Belinda Smith, belinda.smith@email.uky.edu, 859-323-2446

For questions regarding the NSF requirements for RCR Training, contact OSPA:
Deborah Davis, Deborah.davis@email.uky.edu, 859 257-8311

Policies.NSF.RCR.doc
11/09
Responsible Conduct in Research training via the
Collaborative Institutional Training Initiative (CITI)

Responsible Conduct in Research (RCR) training is a requirement for various funding opportunities such as postdoctoral fellowships. The University of Kentucky is a contributing member and subscriber to the web based CITI training program which provides web based RCR training. Completion of the CITI RCR training meets the requirements set forth by the National Science Foundation (NSF).

Register on the CITI website, affiliate with the University of Kentucky, and select the RCR training applicable for your discipline. Be sure to complete the RCR training on the University of Kentucky (UK) curriculum instead of CITI’s “public access” RCR training, in order for UK to receive confirmation of your course completion.

NEW USER: CITI Registration Instructions

Type the following web address into your browser: http://www.citiprogram.org/. If you are a new user, you must register in CITI. Click on “New Users Register Here” link – you will then be prompted to
1. Choose your institution- Under “Participating institutions,” scroll through the drop-down box for “University of Kentucky”;
2. Select your Username and Password;
3. Enter your name: and
4. Enter your email address.
You will then be taken to a page asking you to submit contact information; you must enter the required information (marked with an asterisk). Some of the contact information is collected to better tailor the training program to specific audiences.

Once you submit your contact information (or anytime you select “Add a course or update your learner groups”), you will be directed to a page entitled “Select Curriculum – University of Kentucky”.

SELECT CURRICULUM

The UK CITI curriculum includes training to meet Institutional Review Board (IRB) requirements and Responsible Conduct in Research (RCR) requirements. Select the RCR curriculum.

<table>
<thead>
<tr>
<th>Select Curriculum - University of Kentucky</th>
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<tbody>
<tr>
<td>Please make a selection below to view the available courses:</td>
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<tr>
<td>Choose one answer</td>
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<tr>
<td>□ IRB Human Subject Protection (HSP) Training lists courses available to meet the Institutional Review Board (IRB) training mandate at the University of Kentucky (English and Spanish)</td>
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<tr>
<td>□ RCR Responsible Conduct of Research (RCR) Training- lists RCR training options for various discipline or areas of research. Covers topics such as research misconduct, conflict of interest, mentoring, collaborative science, responsible authorship, etc. Required for some academic programs, grants or funding opportunities. [RCR training does not meet the IRB training mandate]</td>
</tr>
<tr>
<td>Contact the Office of Research Integrity (ORI) 859-257-8428 if you are unsure which course path is necessary for your research activities.</td>
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<td>[Next Question]</td>
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</table>
Choose the version of RCR most applicable to your area of research.

Select Curriculum - University of Kentucky

Responsible Conduct of Research - select the option applicable to your area of research.

Covers topics such as research misconduct, conflict of interest, mentoring, collaborative science, responsible authorship, etc. Required for some academic programs, grants, or funding opportunities.

Please print and retain documentation of course completion for your files. RCR training records are also provided to the U.K. Office of Sponsored Projects Administration (OSPA) as documentation.

Contact the Office of Sponsored Projects Administration (OSPA) at 859-257-8311 with questions. [RCR training does not meet the IRB training mandate]

Choose one answer
- Biomedical Responsible Conduct of Research Course
- Social and Behavioral Responsible Conduct of Research Course
- Physical Science Responsible Conduct of Research Course
- Humanities Responsible Conduct of Research Course
- Administrators Responsible Conduct of Research Course
- Engineers Responsible Conduct of Research Course
- No RCR course needed at this time.

Next Question  Start Over

At any time you may Start Over to select a different course, Cancel to return to the Main Menu or Add a course or update learner groups to enroll in available courses. The Main Menu displays the courses you are enrolled in for the University of Kentucky. This Main Menu will be displayed each time you log into CITI.

Click on the "Status" column to Enter or Re-enter the course in which you are enrolled.
Upon entering your course, the “Grade Book” will be displayed which will track progress of module completion. Before beginning the course modules you will be prompted to complete the required Integrity Assurance Statement. CITI allows you to complete the course at your own pace. At any time while working on a group of modules, you are able to quit and return to the course at a later time. However, you must quit after taking the quiz for a particular module, not DURING the taking of that quiz, or your answers will not be recorded.

Upon successful completion of the course in which you are enrolled, click on Completion Reports to print a Course Completion Certificate. PRINT THIS REPORT FOR YOUR RECORDS! This is your certificate of completion of the applicable training.

Retain your CITI username and password in a secure location so that it will be available to you for potential future use.

UK Contacts:
For questions regarding CITI registration contact the Office of Research Integrity (ORI) at:
Crystal McClure  Helene Lake-Bullock  Belinda Smith
cdmay1@email.uky.edu  hlbullo@uky.edu  belinda.smith@uky.edu
859-257-9428  859-257-9428  859-323-2446

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