

Responsible Conduct of Research Training Requirement University of Kentucky Compliance Process

Currently, the National Science Foundation (NSF) and National Institute of Food and Agriculture (NIFA) mandate Responsible Conduct of Research training.

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.

The National Institute of Food and Agriculture revised its Research Terms and Conditions to include a Responsible and Ethical Conduct of Research (RCR) training requirement. This training requirement is mandatory for all program directors, faculty, undergraduate students, graduate students, postdoctoral researchers, and any staff participating in the sponsored project. “Participating individuals” are those individuals whose salary can be directly tied to the project through salary expenditures posted or cost shared to the grant account. These individuals are referred to collectively as “Participating Individuals” 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 or NIFA review
- One or more persons must oversee compliance
- There must be verification that each Student or Participating Individual has received the training

Applicability.

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

NIFA: NIFA awards which incorporate the February 2013, April 2013, November 2013, October 2014, or later, Agency specific terms and conditions are subject to the RCR training requirement.

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) or an institutionally approved alternative RCR course.

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, Participating Individual, or the University for the use of CITI.

Instructions for using CITI are located here, including contact information for assistance:

https://www.research2.uky.edu/admin/structure/eck/entity/reusable_files/228

To use CITI, the Student or Participating Individual first chooses one of the discipline areas below:

- Biomedical
- Social and Behavioral

- Physical Science
- Humanities
- Engineers

The Student or Participating Individual 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

Alternative RCR Courses:

Alternative courses must be approved by the Vice President for Research; course content may be reviewed periodically.

To be considered, the program must meet these criteria:

- Include substantially all of the material covered by the CITI modules, although topics may be combined and/or be identified by different terms:
 - Research Misconduct
 - Data acquisition and management
 - Authorship
 - Peer Review
 - Conflicts of Interest
 - Mentoring
 - Collaborative Research
- An individual must be able to complete the alternative course within three months of beginning work on an NSF or NIFA grant, by the end of the academic year or the end of the grant budget period, whichever occurs first. Once an alternate course is approved, individuals who completed the course prior to beginning work on an NSF or NIFA grant will meet the requirement.
- Documentation of completion must be provided to OSPA (you may provide a contact person for OSPA to call).

For consideration, send Kelley Davis (kelly.king@uky.edu) a syllabus and a contact person who can answer questions about content. The course will be reviewed by the OSPA Executive Director and sent to the Vice President for Research for approval.

Currently, the institutionally approved alternative RCR courses are as follows:

TOX 600 Ethics in Scientific Research

ME 699 Introduction to Research
PHS 760 Fundamentals of BioEthics

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

Each Student or Participating Individual supported by an NSF or NIFA 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 or NIFA 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 or NIFA account. When a Student or Participating Individual successfully completes the CITI RCR course OSPA will receive notice. OSPA will periodically review a list of Students or Participating Individuals supported by NSF and NIFA grants and select samples to verify that each Student or Participating Individual has completed a RCR course.

Please note that RCR is in addition to any other research compliance training that may be required of the Student or Participating Individual (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) at:

Belinda Smith

belinda.smith@uky.edu

859-323-2446

Jen Hill

jen.hill@uky.edu

859-257-2978

For questions regarding the NSF or NIFA requirements for RCR Training, contact OSPA:

Kelley Davis, kelley.king@uky.edu, 859-257-9420.