THE UNIVERSITY OF ALABAMA IN HUNTSVILLE

**RESPONSIBLE AND ETHICAL CONDUCT OF RESEARCH (RCR)
FACE-TO-FACE TRAINING POLICY CREDIT FOR TEACHING
UNDERGRADUATE RCR-IDENTIFIED COURSES**

Number   07.02.10

Division   Vice President for Research and Economic Development **-** Office of Sponsored Programs

Date   March 9, 2012; Reviewed/Revised February 26, 2024

Purpose   To establish a process which gives face-to-face Responsible and Ethical Conduct of Research training credits to The University of Alabama in Huntsville's ("UAH" or "University") faculty and research staff that teach courses identified by the Provost and Deans meeting the requirements of Responsible and Ethical Conduct of Research modules.

Policy   Federal Regulations define Research Misconduct as fabrication, falsification, or plagiarism in proposing, performing, or reviewing research or in reporting research results. Federal policy requires participation in and successful completion of instruction in responsible conduct of research by individuals supported by any NIH or NSF award. It is expected that course attendance is monitored and that a certificate or documentation of participation is available upon course completion. Institutions are expected to maintain records sufficient to demonstrate that federally supported trainees, fellows, and scholars have received the required instruction. See ORI Policies and Regulations: https://ori.hhs.gov/federal-policies

The responsible and ethical conduct of research (RCR) is critical for excellence, as well as public trust, in federally funded sponsored programs. Consequently, education in RCR is considered essential in the preparation of future scientists and engineers. It is the policy of UAH that all individuals proposing and/or charging to a federally sponsored project will complete 8 hours (6 hours face-to-face and 2 hours web based) of RCR training.

Statutory Requirement:

"The 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."

Effective July 31, 2023, NSF has implemented new requirements for training in the responsible and ethical conduct of research. Previously, this training was only

required for students and postdoctoral scholars. Faculty and other Senior Personnel supported by NSF to conduct research are now required to complete this training. Everyone required to complete this training will be asked to complete online CITI training. NSF has also expanded the training topics, which must now include mentor training and mentorship.

NIH policy requires participation in and successful completion of instruction in responsible conduct of research by individuals supported by any NIH training/research education/fellowship/career award. It is expected that course attendance is monitored and that a certificate or documentation of participation is available upon course completion. NIH does not require certification of compliance or submission of documentation, but expects institutions to maintain records sufficient to demonstrate that NIH-supported trainees, fellows, and scholars have received the required instruction.

The Office of Research Integrity states "Research institutions (universities, hospitals, private research companies, and so on) are required by law to have policies that cover various aspects of their research programs if they accept Federal funds. They must have committees to review human and animal research. They must have procedures for investigating and reporting research misconduct and conflicts of interest. They must approve and manage all research budgets, ensure that laboratory safety rules are followed, and follow established practices for the responsible use of hazardous substances in research. They must also provide training for researchers who use animal or human subjects in their research and for individuals supported on NIH training grants."

While there are no specific curricular requirements for instruction in responsible and ethical conduct of research, the following topics were used to determine which courses will meet the requirements of RCR training:

a. conflict of interest and commitment – personal, professional, and financial
b. policies regarding human subjects, live vertebrate animal subjects in research, and safe laboratory practices
c. Mentorship and mentor training - mentor/mentee responsibilities and relationships (required by NSF)
d. collaborative research including collaborations with industry
e. peer review
f. data acquisition and laboratory tools; management, sharing and ownership
g. research misconduct and questionable Research Practices
h. Publication practices and responsible authorship
i. the scientist as a responsible member of society, contemporary ethical issues in biomedical research, and the environmental and societal impacts of scientific research
j. safe research environments – harassment, bullying, and inappropriate behavior
k. contemporary ethical issues in science

Effective Summer Semester 2012, up to 6 hours of RCR face-to-face credit will be given to employees who teach undergraduate courses that have been approved for RCR content. The courses and the RCR content that have been identified by each dean are attached to this memo and listed online at: http://resadmin.uah.edu/resadminweb/information/StudentRCR.asp

This credit will apply to the initial face-to-face training requirement of 6 hours. Future refresher training will be completed either on-line or face-to-face.

Procedures   To receive credit, the employee will provide the RCR Face-to-face Undergraduate Teaching Certification form (OSP-RCR-01), signed by the appropriate department chair, to the appropriate OSP administrator.

The certification form, included in this memo, can also be found online at: http://www.osp.uah.edu/documents/RCR_Teaching_UG_Certification_Form.docx or obtained from the Office of Sponsored Programs.

Review   The Office of Sponsored Programs is responsible for review of this policy every five (5) years (or whenever circumstances require).