

THE UNIVERSITY OF ARIZONA

Interim Institutional Plan to Provide Responsible Conduct of Research (RCR) Training Required by the National Institutes of Health, the National Science Foundation, and the National Institute of Food and Agriculture

The responsible and ethical conduct of research is critical for excellence, as well as public trust, in the advancement of knowledge through research and scholarship in all disciplines. Consequently, the National Institutes of Health (NIH), the National Science Foundation (NSF), and the National Institute of Food and Agriculture (NIFA) consider Responsible Conduct of Research (RCR) education essential in the preparation of future scientists and engineers. Each agency has particular requirements for RCR instruction. This institutional plan outlines the programming in place at the University of Arizona (UA) designed to meet those requirements.

The University of Arizona RCR Certificate Program

The University of Arizona offers certificate programs in RCR education designed to meet NIH, NSF, and NIFA guidelines. Details regarding each certificate can be found on pages 2-4 of this document. The certificate program consists primarily of a workshop series designed to cover the broad range of topics covered under the rubric of RCR.

The Value of RCR

Fulfillment of federal requirements in Responsible Conduct of Research (RCR) training is just one, albeit very useful, component of training generations of University of Arizona researchers in the highest professional standards. Professional excellence in research includes a dedication to integrity. Education in the responsible conduct of research meets more than just regulatory standards and requirements. It also promotes ethical professional values and behaviors.

Workshop Topics

The RCR workshop topic areas include but are not limited to:

- Animal Subjects Protection**
- Collaborative Science
- Conflict of Interest
- Data Acquisition, Management, Sharing and Ownership
- Lab Safety**
- Human Subjects Protection**
- Mentor/Trainee Relationships
- Peer Review
- Publication Practices and Responsible Authorship
- Research Misconduct

****Special Note:** At the University of Arizona, research with human subjects (<http://orcr.arizona.edu/hsp>), animals (<http://orcr.arizona.edu/iacuc>), and biological, chemical and/or radioactive agents (<http://orcbs.arizona.edu>) require

specific training **requirements that are additional to and are not satisfied by the RCR training requirements described in this Institutional Plan for RCR training.**

Workshop Schedule

Visit www.orcr.arizona.edu/rcr/workshops for the current schedule of workshop offerings.

Training Completion Deadline

The certificate program must be initiated within 30 days of the post-award date and completed within one calendar year after the post-award date. See specific requirements on pages 3 and 4 for additional instructions.

Tracking and Verification of Hours

Principal Investigators are responsible for ensuring that all students and postdoctoral researchers associated with the relevant award complete the RCR training requirements as described above. Individuals should keep documentation of the RCR training they receive, including all workshops and face-to-face discussions with faculty mentors.

IMPORTANT: Beginning in September 2014 completion of the RCR Certificate will be tracked through the university's enterprise learning management system, UAccess Learning.

Monitoring Compliance

The University of Arizona, through the Office of the Senior Vice President for Research, is responsible for certifying that the RCR training plan is in place and verifying certificate completion. Beginning in September 2014 UAccess Learning will be the primary tool for this verification.

Consequences of Noncompliance

Noncompliance with the NIH requirements for RCR training may result in the forfeiture of research funds and sanctions against future NIH or other federal agency research funding, in addition to any institutional sanctions pursuant to relevant UA personnel or other policies.

NIH RCR Certificate

NIH RCR Policy

NIH requires all trainees, fellows, participants, and scholars supported by NIH training grants, career development awards, and dissertation research grants to receive instruction in the responsible conduct of research. For the complete NIH policy, please visit <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-10-019.html>.

Contact Hours Required

The University of Arizona requires a minimum of nine (9) hours of RCR instruction to earn the NIH RCR Certificate. However, more hours are encouraged.

Instructional Format

At least 7.5 hours must be comprised of live instructional formats such as workshops, academic course hours, and face-to-face discussions with faculty mentor(s) and peers. The University of Arizona encourages NIH-funded scholars, trainees, and fellows to participate in as much live instruction as possible. No more than 1.5 hours of supplemental online instruction in RCR may count toward the RCR Certificate.

Earning the Certificate

UA offers an NIH RCR Certificate to acknowledge fulfillment of the NIH requirement. Earning the certificate requires a minimum of nine (9) hours of RCR instruction, which may be fulfilled either through an approved course for academic credit or the workshop-based curriculum below. Up to three (3) hours of RCR instruction led and facilitated by faculty mentors on a more informal basis may count toward the certificate. The workshop-based curriculum consists of the following:

Core Workshop: 1.5 hrs

- Introduction to the Responsible Conduct of Research (choose one of the following):
 - o Introduction to RCR (face-to-face workshop)
 - o Online Introduction to RCR (CITI)

Five Elective Workshops: 7.5 hrs

- Select from RCR Workshop Series (see 2014-2015 schedule below)
- Up to three (3) hours of supplemental instruction from faculty mentor(s) may count toward the elective requirement.

NSF RCR Certificate

NSF RCR Policy

NSF requires all postdocs and undergraduate and graduate students funded through an NSF grant to receive instruction in the responsible conduct of research. For the complete NSF policy, please visit <http://www.nsf.gov/bfa/dias/policy/rcr.jsp>.

Contact Hours Required

The University of Arizona requires a minimum of six (6) hours of RCR instruction to earn the NSF RCR Certificate. However, more hours are encouraged.

Instructional Format

At least 4.5 hours must be comprised of live instructional formats such as workshops, academic course hours, and face-to-face discussions with faculty mentor(s) and peers. The University of Arizona encourages NSF-funded students and postdocs to participate in as much live instruction as possible. No more than 1.5 hours of supplemental online instruction in RCR may count toward the RCR Certificate.

Earning the Certificate

UA offers an NSF RCR Certificate to acknowledge fulfillment of the NSF requirement. Earning

the certificate requires a minimum of six (6) hours of RCR instruction, which may be fulfilled either through an approved course for academic credit or the workshop-based curriculum below. Up to three (3) hours of RCR instruction led and facilitated by faculty mentors on a more informal basis may count toward the certificate. The workshop-based curriculum consists of the following:

Core Workshop: 1.5 hrs

- Introduction to the Responsible Conduct of Research (choose one of the following):
 - o Introduction to RCR Seminar
 - o Online Introduction RCR (CITI)

Three Elective Courses: 4.5 hrs

- Select from RCR Workshop Series
- Up to three hours of supplemental instruction from faculty mentor(s) may count toward the elective requirement.

NIFA RCR Certificate

NIFA RCR Policy

NIFA requires that all program directors, faculty, undergraduate students, graduate students, postdoctoral researchers, and any staff participating in a research project funded by NIFA receive RCR training. Documentation of the training is subject to review by NIFA upon request.

For the complete policy, please see Article 7 of NIFA's research terms and conditions:

http://www.nsf.gov/pubs/policydocs/rtc/agencyspecifics/nifa_213.pdf

Earning the Certificate

The NIFA RCR Certificate may be earned by completing the requirements for the NSF RCR Certificate outlined above.