

University of Iowa Responsible Conduct of Research (RCR) Training Plan
September 15, 2015 Revision

1. **Rationale:** The University of Iowa is obligated to ensure that faculty, staff, and students conducting research are trained in the responsible conduct of research (RCR). As a premier academic research institution training the country's future generations of researchers, it is imperative that we instill basic principles of scholarly integrity and ethical approaches to meet the needs of the University's research mission. Training in the Responsible Conduct of Research (RCR) is a federal requirement for scholars funded by NSF, NIH and USDA NIFA as detailed below:

The America COMPETES Act includes a requirement that **all undergraduate students, graduate students (MA, MS and PhD), and postdoctoral researchers** "who will be supported by National Science Foundation (NSF) to conduct research" receive training in the Responsible Conduct of Research (RCR).

NIH requires that **all trainees (MA, MS and PhD), postdocs, 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.

The U.S. Department of Agriculture (USDA)'s National Institute of Food and Agriculture (NIFA) has mandated that **program directors, faculty, undergraduate students, graduate students (MA, MS and PhD), postdoctoral researchers, and any staff** participating in the research project receive appropriate training and oversight in the responsible and ethical conduct of research (RCR). Any award issued after February 1, 2013 must comply with this requirement.

2. **The University of Iowa Policy for Training in Responsible Conduct of Research:** The Office of the Vice President for Research (OVPR) and the Graduate College ensure that institutional compliance guidelines are met. All students/trainees engaged NIH-/NSF- /USDA's NIFA- funded research MUST complete RCR training.
3. **Responsibility for RCR Training:** The PI, trainee and College are all participants in RCR training. The PI is responsible for informing the trainee of the RCR training requirements and assuring that the trainee participates since the PI ultimately decides who will be funded from their federally sponsored grant(s). The trainee is responsible for initiating and competing the training within the required time frame. The College is responsible for assuring that appropriate RCR courses or programs are developed and instituted.
4. **Training Requirements:** Our current RCR program focuses on the four groups specifically engaged in NIH-/NSF- /USDA's NIFA- funded research or other scholarly creativity involving undergraduates, predocs, postdocs and early career faculty holding NIH K-Awards. At this time, RCR training is mandatory only for those individuals as outlined below; however, all students, staff and faculty engaged in research are eligible and encouraged to participate in RCR training.

For the purposes of RCR education, members of these four groups are designated as *trainees*.

Undergraduates: ALL undergraduate trainees funded by a grant from NSF, NIH or NIFA must complete the online CITI training program on Responsible Conduct of Research within one month of their appointment. Training is available at <http://www.grad.uiowa.edu/principles-of-scholarly-integrity/approved-courses> . On-line testing is employed to measure comprehension.

Professional Degree students: ALL AuD, DDS, DNP, MD, MHA, MPH, MSN, PharmD trainees funded by a grant from NSF, NIH or NIFA must complete the online CITI training program on

Responsible Conduct of Research within the first semester of their appointment. Training is available at <http://www.grad.uiowa.edu/principles-of-scholarly-integrity/approved-courses> . On-line testing is employed to measure comprehension

Predocs (MS, MA and PhD): ALL predoctoral trainees funded by NSF, NIH or NIFA must complete the two phase training program described below **within the first 2 years** of their appointment to a grant funded project and if applicable Phase 3 if their funded training extends more than 4 years.

Postdocs and K-Award faculty: All trainees funded by NSF, NIH or NIFA must complete the two phase training program described below **within the first year** of their appointment and if applicable Phase 3 if their training extends more than 4 years.

5. **Content:** RCR subject matter is defined to accommodate research disciplines across the campus and includes the topics listed below. Completing Institutional Review Board (IRB) or Animal Welfare training alone does not meet the federal RCR requirements.

- Introduction, Definitions and Rationale
- Data Acquisition, Management, Sharing and Ownership
- Conflict of Interest (COI) and Commitment (COC)
- Research Involving Human Subjects
- Animal Welfare in Research
- Research Misconduct
- Publication Practices and Responsible Authorship
- Mentor / Trainee Responsibilities and Relationships
- Peer Review
- Collaborative Science

6. **Training Schedule**

Phase 1 Online CITI training: Within the first month after being appointed to participate as a trainee on a project funded by NSF, NIH or NIFA, students must complete the online CITI training program on Responsible Conduct of Research available at <http://www.grad.uiowa.edu/principles-of-scholarly-integrity/approved-courses> . On-line testing is employed to measure comprehension.

Phase 2 Face-to-Face Discipline specific courses: Trainees are required to enroll in a discipline specific RCR course after completion of the Phase 1 CITI training. Courses are offered by programs, departments and colleges and are developed and annually audited with the approval of the Graduate College. There is a minimum requirement of 8 face-to-face contact hours for these courses. Beginning in 2016-2017, all Colleges are responsible for assuring that their own students have an in-person training option that meets the federal requirements and has been approved by the Graduate College. Trainees must complete the RCR course once enrolled. Acceptable completion grades are either S (satisfactory) or B- or better depending on the grading system used by the unit offering the course.

Phase 3 Re-Certification: Additional RCR training is required every 4 years while funded by NSF, NIH or NIFA (e.g., if your graduate program takes longer than 4 years, you must take RCR Re-Certification training) or at each new stage of training (e.g.: moving from undergraduate to graduate student, undergraduate to MD training, PhD to postdoc or postdoc to faculty). Re-Certification training is mandated by NIH, NSF and NIFA.

Additional Programmatic RCR training: NIH T32 trainees may be required to complete specific T32 RCR training identified by their individual NIH training programs.

7. Failure to Complete RCR Training and Consequences:

For undergraduates, failure to complete the CITI training in the designated time, results in 1) suspension of research activities and 2) loss of compensation. In order for compensation to resume and to continue research activities requires that the undergraduate trainee successfully complete CITI RCR training.

For predocs, postdocs and K-Award faculty, failure to complete all required RCR phases within the designated time period results in **suspension of trainee grant funding and support**, which includes stipend, tuition, fees, travel, supplies, etc. To have funding reinstated, the trainee must complete (or retake) CITI RCR on-line training. It is only after CITI RCR training has been successfully completed (or retaken) and they have registered for an approved RCR Course will funding be restored.

8. Certification

Upon satisfactory completion of the designated CITI modules and RCR coursework, the transcript of the trainee is updated to indicate that RCR training has been completed. For undergraduates, a copy of the CITI certificate of satisfactory completion will be kept on file in the OVPR office. For predocs and postdocs, the student's University transcript will reflect satisfactory completion of their discipline specific RCR course. For faculty, the employment record will identify satisfactory RCR completion.

The Office of the Vice President for Research will be responsible for the overall RCR plan and for providing information to sponsoring agencies regarding compliance with RCR training.

9. Transfer of RCR Training Between Institutions:

If a trainee leaves another institution (e.g., exits as a predoc) and transfers to the University of Iowa (e.g., enters as a predoc) and can certify successful completion of prior RCR training at their former institution, then upon presentation of certified RCR training documentation, the University of Iowa will waive repeating RCR training.

If a trainee enters the University of Iowa from another institution as part of a new phase of their career (e.g., completed predoc training elsewhere and enters Iowa as a postdoc), then the trainee will need to take new RCR training consistent with their change in position.

If a trainee transfers from the University of Iowa to another institution and has successfully completed RCR training, the University of Iowa upon request will provide documentation of RCR training for the new institution.

10. Maintenance of RCR Content

RCR content will be reviewed at appropriate intervals and modified 1) to include new material such as pertinent discipline specific case studies and 2) to remove outdated or obsolete information. The faculty responsible for approved RCR courses will ensure that:

1. Concepts of scholarly integrity, responsible conduct of research, and research ethics acknowledged in the course description and objectives.
2. Completion of collaborative Institutional Training Initiative (CITI) online modules are now a required prior to completion of the approved coursework.
3. Core competency areas must be explicitly covered and outlined on all course syllabi and discussed in class regardless of discipline.

Instruction must involve substantive contact hours between the trainees/fellows/scholars/participants and the participating faculty: a combination of didactic and small-group discussions (e.g. case studies); and participation of research training faculty members in instruction in responsible conduct of research are required. Acceptable programs must include a **minimum of 8 contact hours**.

An annual audit of the RCR program and courses will take place to evaluate the overall training process and to monitor effectiveness, compliance and create opportunities for content/process improvement by the Office of the Vice President for Research.