

# Responsible Conduct of Research (RCR)

## The University of Tulsa Implementation Plan and Requirements

The 2007 America COMPETES Act (ACA) states “Institutions that apply for financial assistance from NSF for science and engineering research or education should include a plan in their grant proposals for appropriate training and oversight in the responsible and ethical conduct of research to undergraduate students, graduate students, and postdoctoral researchers who will participate in the proposed research project.”

Effective **January 4, 2010**, all institutions submitting proposals to NSF must certify that they have a training plan in place. Training plans do not need to be submitted with the proposal, but are subject to review upon request. Institutions are responsible for verifying that these individual receive training. These requirements are included in detail in the January 2010 NSF Proposal and Award Policies and Procedures Guide, specifically Part I – Grant Proposal Guide, Chapter II.C.1e and in Part II – Award and Administration Guide, Chapter, IV.B.

In response to the ACA requirement, The University of Tulsa Office of Research and Sponsored Programs (ORSP) along with the Graduate School have implemented a policy that establishes minimum responsible conduct of research (RCR) training requirements.

1. Successful completion of the web-based Collaborative Institutional Training Initiative (CITI) RCR modules, and
2. Discipline specific mentoring by the Principal Investigator and lead investigators shall be provided to the students and postdoctoral researchers during the course of the research.

**All Principal Investigators and Co-Principal Investigators shall complete this training within ninety (90) days of receipt of the award if the training has not previously been completed. Post doctoral researchers, undergraduate students, and graduate students shall complete the training within ninety (90) days of the beginning of their appointment to the grant.**

### Oversight

#### 1. PI Responsibilities

The PI is responsible for ensuring that the appropriate training is completed and documented for all affected personnel on his/her NSF project. The PI must inform affected personnel of the CITI training requirement at the time of their appointment, the allotted time for completion, and consequences for not meeting the requirement.

## **2. Office of Research and Sponsored Programs**

Upon receipt of an award, ORSP will ensure that each PI is aware of the RCR training requirements. The ORSP Director will designate staff person(s) familiar with research compliance to monitor and maintain CITI completion reports. Tracking of affected personnel listed as being paid on NSF accounts via payroll reports will be conducted by the designated ORSP staff on at least a quarterly basis. In cases of non-compliance, the ORSP Director will be immediately notified for the purpose of taking corrective action with the PI, which may include freezing the affected account or terminating appointments and participation in the award until RCR training has been completed.

Sub-awards to other institutions are subject to the same requirements as the prime recipient. ORSP staff responsible for sub-awards to other institutions will ensure that the terms and conditions of the Agreement include this requirement.

### **CITI RCR Course**

Information regarding the CITI CRC course is below. Questions regarding registration in the course shall be directed to Carmen Schaar-Walden, Coordinator of Research Compliance in the Office of Research and Sponsored Programs via email at [carmen-schaar-walden@utulsa.edu](mailto:carmen-schaar-walden@utulsa.edu) or (918) 631-3310. Questions regarding the implementation plan (proposals) shall be directed to Debbie Newton at [deborah-newton@utulsa.edu](mailto:deborah-newton@utulsa.edu) or (918) 631-2192. Questions regarding the implementation plan (awards) shall be directed to Paula Lemon at [paula-lemon@utulsa.edu](mailto:paula-lemon@utulsa.edu) or (918) 631-3308.

Researchers shall choose one of the following discipline-specific courses that best describes the area of research:

- Biomedical Research (e.g. Medicine, Nursing, Pharmacy, Physical Therapy)
- Social and Behavioral Research (e.g. Psychology, Sociology, Anthropology, Political Science, Marketing)
- Physical Sciences (e.g. Geology, Chemistry, Physics)
- Arts and Humanities (e.g. English, History, Languages, Art, Music)
- Engineering (e.g. Mechanical Engineering, Electrical Engineering, Computer Science)

Core instructional areas presented in each of the courses are:

- Research Misconduct
- Data Acquisition and Management
- Responsible Authorship
- Responsible Peer Review
- Mentoring
- Collaborative Research
- Conflicts of Interest

**Please note that these courses may not be used to satisfy TU requirements for training in animal care and use or human subjects research protections.**

Each topic area above consists of an introduction, basic foundation text, imbedded case studies, and quiz questions. You are only required to complete the foundation course. The course does not have to be completed in one session. A minimum aggregate score of 80% is required to pass the RCR course.

## **Questions or Assistance**

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To access the CITI Course in the Responsible Conduct of Research, visit the site at [www.citiprogram.org](http://www.citiprogram.org).