

Union College
Policy for Training in the Responsible Conduct of Research
(Last updated 6/24/2019)

1. BACKGROUND

In response to the America COMPETES (Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science) Act, Section 7009, effective January 2010, the National Science Foundation requires that institutions receiving NSF grant funds in which undergraduate, graduate students, or postdocs are listed as research personnel, must provide Responsible Conduct of Research (RCR) training to those individuals participating in the research project. RCR training is also required for National Institutes of Health (NIH) grant programs with a training component that requires instruction in responsible conduct of research as noted in the Funding Opportunity Announcement.

1.1. National Science Foundation (NSF) Policy on Responsible Conduct of Research

The NSF "Proposal & Award Policies and Procedure Guide"¹ provides detailed information about the assurances required of all grant applicants and award recipients. Background information and details on institutional responsibilities pertaining to RCR are documented in Part II: Award, Administration and Monitoring of Grants and Cooperative Agreements, Chapter IX, Grantee Standards, Part B, Responsible Conduct of Research (RCR)².

1.2. National Institutes of Health (NIH) Policy on Responsible Conduct of Research

The purpose of the NIH "Update on the Requirement for Instruction in the Responsible Conduct of Research"³ is to update the agency's policy on instruction in the responsible conduct of research, convey some of the consensus best practices that have evolved in the research training community over the past two decades, and to provide access to additional information that may be useful to institutions and individuals in meeting their obligations under NIH policy.

2. TRAINING PLAN

This policy and procedures are designed to assist faculty investigators and student researchers, funded through an NSF grant or an NIH grant with a training component, in completing the requirement for training in RCR.

2.1. Training Participants

Only students who are contributing to an NSF or NIH funded research effort as part of a current/active NSF or NIH grant shall be required to satisfactorily complete a training course or module(s) on the RCR. See the Training Methods section below for general guidelines on training methods based on levels of participation in research activities.

2.2. Training Timeframe

Faculty PIs are responsible for ensuring their student research assistants complete the training at the start of work on

the research project or no later than within one (1) academic term or during the summer research period immediately following the initiation of NSF or NIH-funded student research.

2.3. Training Methods

Faculty PIs have the option to:

1. Design customized training modules for their research assistants; or
2. Use the online CMIDTR modules. To utilize this option, please email grantsoffice@union.edu with the names and email addresses of students who will need to be registered.

2.3.1. Guidelines for Levels of Participation in Training

To determine the amount of training in RCR that is sufficient and appropriate for the student researchers, the PI may wish to consider students' time commitment and level of involvement in the sponsored research activities. Those participating in research for an abbreviated amount of time may be well suited to take a basic training course, whereas summer research assistants, for example, would need a course with more in-depth exposure to issues relevant to the RCR.

2.3.2. Instructions for Students – Completing the RCR Training Requirement

The faculty researcher will provide the student with training material or direct the student to use the online tool. Students using the online CMIDTR training must follow these steps:

1. The Associate Director of College Grants & Sponsored Programs will register and add users to the course modules.
2. Once you receive your Illinois NetID, log-in by following this link:
https://compass2g.illinois.edu/webapps/blackboard/execute/launcher?type=Course&id=40469_1&url=
3. Once you are logged into your account, **Complete Module 1. Rights and Obligations, sections 1.0 through 1.5¹**
 - a. Complete Modules 2 and 3 as required by your faculty advisor.
4. Inform your faculty advisor that you've completed the RCR training.
 - a. Email ethicsctr@illinois.edu for your certificate of completion.

2.3.3. Instructions for Faculty – Reporting Completion of the RCR Training Requirement

The Grants Office will email an RCR Training reminder to all PIs and co-PIs in early June, early September, and early January each year. The email will include a link to the RCR Training Activity Sheet (also available on the Grants Office website, under Policies & Forms). Upon completion of the training in a timely fashion, the faculty PI will:

1. Complete the [RCR Training Report Form](#)

- a. For all NSF grants, list “other” research personnel including undergraduate students, graduate students, and/or post-docs compensated through the grant (i.e., budget category B. Other Personnel, lines B.1., B.3., and B.4.).
 - b. For NIH grants, list all trainees, fellows, participants, and scholars receiving support through any NIH-funded program that requires instruction in responsible conduct of research (as stated in the relevant funding opportunity announcement).
2. Print, sign, and date the [RCR Training Report Form](#)
 3. You may attach Certificates of Completion from training programs/modules, if applicable.
 4. Return the RCR Training Activity Sheet and any applicable attachments via campus mail to Mercedes Susi, Grants Office – Silliman Hall 306, or scan and email the form and attachments to grantsoffice@union.edu.

3. TRAINING ADMINISTRATION

The [Director of College Grants & Sponsored Programs](#) and [Associate Director of College Grants & Sponsored Programs](#) will inform PIs of this training in RCR requirement during the pre-award/proposal preparation process. The PIs and co-PIs will receive an email reminder and shall complete the [RCR Training Report Form](#) as described above and return to the Associate Director of College Grants & Sponsored Programs.

¹ NSF Proposal and Award Policies and Procedure Guide:

https://www.nsf.gov/pubs/policydocs/pappg19_1/index.jsp

² NSF PAPPG Grantee Standards – RCR: https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_9.jsp#IXB

³ NIH Notice NOT-OD-10-019: <http://grants1.nih.gov/grants/guide/notice-files/NOT-OD-10-019.html>

⁴ Module 1 satisfies Union’s policy for training in RCR, however faculty are encouraged to also have their students, when appropriate, complete Module 2: Collaboration, Communication and Grants Management and/or Module 3: Intellectual Property