

**University Plan for Training in Responsible Conduct of Research (RCR)**  
**University of North Carolina at Chapel Hill**  
**Effective Date 9 October 2012**  
**Edited June 10, 2014**

**Jump to (sections within this document):**

[Goals of the RCR Training Program](#)

[Overview of the RCR Training Program](#)

[National Science Foundation \(NSF\) RCR Training Requirements \(who this applies to and what is required\)](#)

[National Institutes of Health \(NIH\) RCR Training Requirements \(who this applies to and what is required\)](#)

[Qualifying RCR Programs](#)

[Instructions for accessing the CITI RCR courses](#)

The University of North Carolina at Chapel Hill is committed to maintaining high standards of ethical conduct in all aspects of its work including research and education. Appropriate instruction in Responsible Conduct of Research (RCR) is an essential component of the professional development of our researchers at all career levels.

This plan articulates a program to provide training in key RCR topics. However, an academic researcher's exposure to RCR is not limited to a specific classroom experience. The University shares responsibility with its senior researchers, course instructors and other mentors for ensuring that our students, postgraduate trainees and faculty at all career levels have formal and informal opportunities to observe, model, evaluate and discuss responsible research behaviors throughout their careers at Carolina. This plan is not intended to encompass the breadth of RCR education on our campus, but to define the core content and methodology required to give trainees a foundation to support lifelong learning in this area.

**Goals of the RCR Training Program**

This program will:

- Reinforce the University's commitment to excellence in research
- Introduce trainees to fundamental principles of Responsible Conduct of Research
- Provide an overview of terms, concepts and policies related to RCR
- Develop skills to identify and address ethical dilemmas in research
- Describe campus resources available to support researchers with RCR concerns
- Assess each trainee's mastery of core principles
- Foster a culture of open discussion of ethical dilemmas in classroom, laboratory and office settings

## **Overview of the RCR Training Program**

RCR training is an important component of research education at Carolina regardless of discipline, career aspiration, or source of research support.

Training may be accomplished through a menu of options, but should include a didactic component introducing principles, terms and policies; a test of basic information; and in most cases, an experiential component including facilitated discussion.

A list of qualifying RCR programs will be maintained and are listed at the end of this document.

A qualifying RCR program should include the following elements:

- Research Misconduct
- Human Subjects Protection
- Animal Use
- Conflicts of Interest
- Data Management
- Mentor and Trainee Responsibilities
- Collaborative Research
- Peer Review, Authorship and Publication

RCR training received during a previous career stage (e.g. undergraduate, graduate, postdoctoral, junior faculty), either at Carolina or elsewhere, does not exempt a trainee from this requirement.

Trainees will complete a qualifying RCR program before the end of their first year of NIH/NSF support or within the support period if less than one year.

Instruction should be undertaken at least once during each career stage.

The University recognizes specific obligations to certain federal sponsors. This plan is designed to meet the following requirements:

- NSF [Implementation of Section 7009](#) of the America COMPETES Act
- NIH training grants requirements as described in Notice [NOT-OD-10-019](#), Update on the Requirement for Instruction in the Responsible Conduct of Research

The University is in the process of creating a Research Training Database to track training requirements. Until the launch of the database, the PI must maintain records to document that each trainee has completed the RCR training. The UNC-CH CITI RCR administrator will have access to the training records of those who complete the CITI RCR on-line course. Training records may be subject to monitoring.

The RCR Steering Committee will approve courses, workshops and other programs that meet the University Plan's requirements and review approved programs for continued adherence to the University Plan. The RCR Steering Committee also will facilitate periodic workshops to identify and promote best practices in RCR training.

**National Science Foundation (NSF) RCR Training Requirements (to whom this applies and what is required)**

NSF RCR Instruction Guidance as described in [Implementation of Section 7009](#) of the America COMPETES Act (summarized):

Effective January 4, 2010, NSF will require that, at the time of proposal submission to NSF, the institution has a plan to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduates, graduate students, and postdoctoral researchers who will be supported by NSF to conduct research. While training plans are not required to be included in proposals submitted to NSF, institutions are advised that they are subject to review upon request.

All students and postdoctoral researchers supported by NSF sponsored projects must receive instruction in RCR.

PIs should not include any specific information on RCR training within their proposals. NSF does not want to receive program details – only the institution's certification that there is a program in place.

The PI must maintain records to document that each trainee has completed the RCR training.

The CITI RCR on-line course satisfies the NSF RCR training requirements. Those who chose to satisfy their RCR training requirement by completing the CITI RCR training must complete the relevant discipline-specific CITI RCR on-line course (Biomedical Research, Social and Behavioral Research, Physical Science, Arts and Humanities Research, or Engineering Research).

Principal Investigators (PIs) are also encouraged to complete the CITI RCR training and begin a dialogue with students and postdocs on the responsible conduct of research.

[Click here for instructions for accessing the CITI RCR courses.](#)

**National Institutes of Health (NIH) RCR Training Requirements (to whom this applies and what is required)**

NIH training grants requirements as described in Notice [NOT-OD-10-019](#), Update on the Requirement for Instruction in the Responsible Conduct of Research (summarized):

NIH requires that all trainees, 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. This policy will take effect with all new and renewal applications submitted on or after January 25, 2010, and for all continuation (Type 5) applications with deadlines on or after January 1, 2011. This Notice applies to the following programs: D43, D71, F05, F30, F31, F32, F33, F34, F37, F38, K01, K02, K05, K07, K08, K12, K18, K22, K23, K24, K25, K26, K30, K99/R00, KL1, KL2, R25, R36, T15, T32, T34, T35, T36, T37, T90/R90, TL1, TU2, and U2R. This policy also applies to any other NIH-funded programs supporting research training, career development, or research education that require instruction in responsible conduct of research as stated in the relevant funding opportunity announcements.

All trainees, fellows, participants, and scholars receiving support through any NIH training grant, career development award (individual or institutional), research education grant, or dissertation research grant must receive instruction in RCR.

For the specified award categories, the PI must develop a discipline-specific, tailored plan for RCR training that meets the NIH requirements.

The PI is responsible for ensuring that course attendance is monitored and that a certificate or documentation of participation is available upon course completion. Although the NIH does not require the PI to submit training documentation to the NIH, training records are subject to audit.

The PI is responsible for maintaining RCR training records to document that all NIH supported trainees, fellows, and scholars received the required instruction. The PI must also comply with the specific reporting requirements in continuation applications.

While there are no specific curricular requirements for RCR instruction, the following topics have been incorporated into most acceptable plans for such instruction:

1. conflict of interest – personal, professional, and financial
2. policies regarding human subjects, live vertebrate animal subjects in research, and safe laboratory practices
3. mentor/mentee responsibilities and relationships
4. collaborative research including collaborations with industry
5. peer review
6. data acquisition and laboratory tools; management, sharing and ownership
7. research misconduct and policies for handling misconduct responsible authorship and publication

8. the scientist as a responsible member of society, contemporary ethical issues in biomedical research, and the environmental and societal impacts of scientific research

The RCR instructional plan should include coursework with significant face-to-face interaction and participation by research faculty members. Analysis of relevant case studies is recommended. While on-line instruction may be used as a component of the training program, it is not sufficient to meet the NIH requirement for RCR instruction, except in special or unusual circumstances.

Training plans must address all program participants and should be appropriate to the career stage of the individuals receiving training. Research faculty should participate in instruction in ways that allow them to serve as effective role models for their trainees, fellows, and scholars. Individual fellowship and career development award applicants/recipients are encouraged to assume individual and personal responsibility for their instruction in responsible conduct of research.

Instruction must be undertaken at least once during each career stage, and at a frequency of no less than once every four years. It is highly encouraged that initial instruction during predoctoral training occurs as early as possible in graduate school. Individuals at the early career investigator level (including mentored K awardees and K12 scholars) must receive instruction in responsible conduct of research at least once during this career stage. Senior fellows and career award recipients (including F33, K02, K05, and K24 awardees) may fulfill the requirement for instruction in responsible conduct of research by participating as lecturers and discussion leaders.

PIs may use the online CITI RCR Training course as part of their instructional plan. If used, the most relevant, discipline-specific CITI RCR course (Biomedical Research, Social and Behavioral Research, Physical Science Research, Arts and Humanities Research, or Engineering Research) should be specified.

[Click here for instructions for accessing the CITI RCR courses.](#)

## **Qualifying RCR Programs as of 9 October 2012:**

Meets NSF RCR Instruction Requirement (enrollment may be subject to Sponsor or Instructor approval)
<a href="#">CITI On-line training</a> (select “RCR Course”)
<a href="#">Office of Postdoctoral Affairs Research Ethics Training</a>
<a href="#">GRAD 721 – Research Ethics</a>
<a href="#">NCTrACS RCR Summer Course</a>
<a href="#">Biological &amp; Biomedical Sciences Program, First Year Seminar</a>
<a href="#">PHARMACY 801 Ethical Dilemmas in Research</a>
<a href="#">BIOLOGY / ECOLOGY 602</a> (if completed in addition to an appropriate CITI RCR course)

Meets NIH RCR Instruction Requirement (enrollment may be subject to Sponsor or Instructor approval)
<a href="#">Office of Postdoctoral Affairs Research Ethics Training</a>
<a href="#">GRAD 721 – Research Ethics</a>
<a href="#">NCTrACS RCR Summer Course</a>
<a href="#">Biological &amp; Biomedical Sciences Program, First Year Seminar</a>
<a href="#">PHARMACY 801 Ethical Dilemmas in Research</a>
Other RCR Instruction programs as approved by the NIH in conjunction with an individual or institutional training grant.

Instructors or Directors of approved programs are expected to review and update course content to ensure adherence to the University Plan and inclusion of contemporary issues. In addition, rosters of trainees completing all program requirements should be maintained consistent with standard curriculum records.

To propose additional programs for review, please write to [rcr\\_training@unc.edu](mailto:rcr_training@unc.edu).

## **INSTRUCTIONS FOR ACCESSING THE CITI RCR COURSES**

**Jump to (sections within this document):**

[New users who have not affiliated with UNC-Chapel Hill in CITI](#)

[Current users who have UNC-CH accounts in CITI](#)

To access the CITI Responsible Conduct of Research (RCR) Course, go to CITI at [www.citiprogram.org](http://www.citiprogram.org).

### **New users who have not affiliated with UNC-Chapel Hill in CITI:**

Affiliate with UNC-Chapel Hill.

When registering with CITI, it is critical that your UNC-CH PID be entered correctly (9 digits, no hyphen, no spaces). If you do not have a UNC-CH PID, enter four zeros (0000) when prompted to enter your UNC-CH PID in CITI.

After registering with the site, select the course you would like to take from the list of available CITI courses.

- Select the following course:

#### **Responsible Conduct of Research (RCR) Course**

This training emphasizes some important shared values that bind all researchers together, regardless of discipline, including honesty, accuracy, efficiency, and objectivity. RCR training is required by some funding agencies such as the National Science Foundation (NSF) and by certain National Institutes of Health (NIH) training grants.

- Click Next.
- Select a track for the RCR Course that best matches your discipline:

**Biomedical Research**  
**Social and Behavioral Research**  
**Physical Science Research**  
**Arts and Humanities Research**  
**Engineering Research**

- Click Next.
- This will take you back to the **Main Menu**.

- Under University of North Carolina at Chapel Hill,  **My Courses**, you should see your selected course. Under **Status**, click Not Started - [Enter](#) to begin the course.

Review of the required materials and completion of the quizzes will take about 30-35 minutes per topic. Courses do not have to be completed in one session. A minimum aggregate score of 80% is required to pass the RCR course.

Print and retain a copy of the completion report for your records.

Technical support is available at the CITI RCR Help Desk by email [citisupport@med.miami.edu](mailto:citisupport@med.miami.edu) or at 305-243-7970 (Monday – Friday 8am-5pm Eastern Standard Time).

For questions, please contact [rcr\\_training@unc.edu](mailto:rcr_training@unc.edu)

## **Current users who have UNC-CH accounts in CITI**

To access the CITI Responsible Conduct of Research (RCR) Course, go to CITI at [www.citiprogram.org](http://www.citiprogram.org).

To retrieve a lost user name and / or password, select the **Forgot Username or Password** link on the CITI homepage to have it sent to you by email.

After logging onto the site, you will be on the **Main Menu**.

- Click  [\*\*Add a course or update your learner groups\*\*](#) for **University of North Carolina at Chapel Hill**
- Select the following course:

### **Responsible Conduct of Research (RCR) Course**

This training emphasizes some important shared values that bind all researchers together, regardless of discipline, including honesty, accuracy, efficiency, and objectivity. RCR training is required by some funding agencies such as the National Science Foundation (NSF) and by certain National Institutes of Health (NIH) training grants.

- Click Next.
- Select a track for the RCR Course that best matches your discipline:

#### **Biomedical Research**

#### **Social and Behavioral Research**

#### **Physical Science Research**

#### **Arts and Humanities Research**

#### **Engineering Research**

- Click Next. This will take you back to the **Main Menu**.

Under University of North Carolina at Chapel Hill,  [\*\*My Courses\*\*](#), you should see your selected course. Under **Status**, click Not Started - [Enter](#) to begin the course.

Review of the required materials and completion of the quizzes will take about 30-35 minutes per topic. Courses do not have to be completed in one session. A minimum aggregate score of 80% is required to pass the RCR course.

Print and retain a copy of the completion report for your records.

Technical support is available at the CITI RCR Help Desk by email [citisupport@med.miami.edu](mailto:citisupport@med.miami.edu) or at 305-243-7970 (Monday – Friday 8am-5pm Eastern Standard Time).

For questions, please contact [rcr\\_training@unc.edu](mailto:rcr_training@unc.edu)