

## UAF Policy 10.07.001

Original Adoption: June 8, 2010

Revised: December 5, 2024

Responsible Chancellor's Cabinet Member: Vice Chancellor for Research

Responsible Department/Office: Office of Research Integrity



# Responsible Conduct of Research Training Policy

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## 1.0 POLICY STATEMENT

The University of Alaska Fairbanks (UAF) requires that everyone engaged in research, sponsored by National Science Foundation (NSF), National Institute of Health (NIH) and Public Health Service (PSH), complete responsible conduct of research (RCR) training. It is the responsibility of the principal investigator (PI) to ensure that project personnel complete UAF approved RCR training.

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## 2.0 BACKGROUND & JUSTIFICATION

The need for public accountability and the increasingly complex research environment require that trainees learn skills not consistently conveyed solely through mentorship or in traditional educational settings. As the recipient of NIH and NSF funds, UAF must provide RCR training to all personnel working under grants associated with these federal research sponsors.

Since 2000, RCR training programs have been established by federal research sponsors and other organizations supporting higher education in the United States. Topic areas for RCR training can vary depending upon the discipline and the trainee's career level (undergraduate student vs. post-doctoral researcher); however, the following topics are included in RCR training:

- Data Acquisition, Management, Sharing and Ownership
- Conflict of Interest and Commitment
- Research Misconduct
- Publication Practices and Responsible Authorship
- Peer Review
- Mentor / Trainee Responsibilities
- Collaborative Science
- Human Subject Protections\*
- Animal Welfare\*

*\* Individuals engaged in research involving human subject participation or animal subjects require substantially more training than what is offered in the RCR training program.*

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## 3.0 EXCEPTIONS

There are no exceptions to this policy.

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## 4.0 DEFINITIONS

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**Institutional Official (IO):** The individual authorized to act for the university and obligate the university to the terms of the Federal wide Assurance.

**Office of Grants and Contracts Administration (OGCA):** The OGCA is responsible for pre-submission review and authorization of proposals, negotiating terms and conditions, accepting awards on behalf of UAF, setting up award funds/accounts, and ensuring compliance with award terms and conditions.

**Office of Research Integrity (ORI):** The ORI is responsible for ensuring compliance with internal policies, sponsor requirements, and with local, state, and federal regulations governing the conduct of research.

**Research Integrity Committee (RIC):** RIC evaluates RCR training and guidance while identifying areas for improvement in research regulatory/ethical compliance. RIC also identifies and recommends training programs and educational opportunities on RCR topics.

**Principal Investigator (PI):** Only individuals meeting the requirements of UAF Policy No. 05-003 Principal Investigator Eligibility may serve as principal investigators.

**Responsible Conduct of Research (RCR) Training:** This is a general term used to encompass a range of topics associated with research ethics, ethical decision making, professionalism, and best practices.

**Trainee:** This term refers to project personnel who are undergraduate students, graduate students, or postdoctoral researchers.

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## 5.0 REFERENCES RELIED UPON

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1. Ethics Education and Scientific and Engineering Research: What's Been Learned? What Should Be Done? Summary of a workshop. <http://www.nap.edu/catalog/12695.html>
2. Public Law 110-69 America Competes Act, SEC. 7009. Responsible Conduct of Research. <https://www.govinfo.gov/content/pkg/COMPS-11490/pdf/COMPS-11490.pdf>
3. Federal Register Notice announcing NSF's final implementation published on August 20, 2009. <https://www.federalregister.gov/documents/2009/02/26/E9-4100/responsible-conduct-of-research>
4. Training in Responsible Conduct of Research - A Reminder of the NSF Requirement published August 17, 2017. <https://www.nsf.gov/pubs/issuances/in140.jsp>
5. National Science Foundation, Proposal and Award Policies and Procedures Guide, January 2023. <https://new.nsf.gov/policies/pappg/23-1>

6. Office of Research Integrity, Department of Health and Human Services, Responsible Conduct of Research. <https://ori.hhs.gov/general-resources-0>
7. National Institutes of Health Update on the Requirement for Instruction in the Responsible Conduct of Research. <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-22-055.html>
8. Responsible Conduct of Research Toolkit <https://cdn.ymaws.com/www.nationalpostdoc.org/resource/resmgr/npa-rcr-toolkit.pdf>

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## **6.0 RESPONSIBILITIES**

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### **Principal Investigators (PI) shall:**

1. Enroll, address, and complete the required RCR training activities per the funding solicitation, request for proposal, announcement, or other agency instructions; within the designated time frame (agency dependent).
2. Maintain current credentials throughout their involvement with the federal research sponsor activity.
3. Properly educate and mentor trainees, and require all project personnel to participate in UAF sponsored RCR training programs.
4. Ensure that any RCR training requirements set by funding agencies or sponsors are met by:
  1. Providing all trainees with a copy of this policy and informing them that they must complete the RCR training;
  2. providing ORI with a list of trainees and their role(s) in the project; and
  3. informing ORI whenever new trainees are identified.

### **Trainees shall:**

1. Enroll and complete the required RCR training activities within the designated timeframe and maintain current credentials throughout involvement with the federal research sponsor activity.

### **The Office of Research Integrity (ORI) shall:**

1. Establish a tiered RCR training program for project personnel, based on training or career level;
2. develop and maintain RCR training activities and tools to support this program;
3. maintain attendance and completion records for authorized RCR training activities;
4. work with OGCA to develop internal processes and procedures to ensure:
  1. all awards with an RCR training requirement are identified;
  2. PI are notified of the RCR training requirements and completion timelines; and
  3. periodic monitoring is performed to ensure continuing compliance with internal and external requirements throughout the life of the award; and

5. review all requests to waive or modify training requirements or to substitute non-UAF courses or workshops; final approval or denial of such requests is at the discretion of the ORI Director.

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## **7.0 NON-COMPLIANCE**

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Failure to comply with the terms and conditions of an award can lead to disciplinary action by the university. This includes notification of the sponsor, and possible suspension or termination of funded activities. Any disciplinary action taken by the university will follow the employment rules governing the individual's employment category and the applicable collective bargaining agreement (CBA). Students are governed by the Student Code of Conduct as described in the Board of Regents' Policy, Part IX – Student Affairs, Chapter 09.02 - Student Rights and Responsibilities.

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## **8.0 PROCEDURES**

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The VCR is the designated IO charged with the development and implementation of procedures to provide training and oversight in the responsible and ethical conduct of research at UAF. RCR training needs at UAF are accommodated through programs authorized and tracked by the UAF ORI. Non-UAF persons participating in research funded through this institution will be required to complete UAF RCR training program or document the completion of an equivalent training program from another university.

POLICY APPROVED BY:



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Daniel M. White, Chancellor  
University of Alaska Fairbanks

Signed: **01-29-2025**