

University of Wisconsin Oshkosh
Office of Sponsored Programs

Responsible Conduct of Research Training

Effective Date: May 29, 2015

Last Reviewed: February 7, 2023

Responsible Conduct of Research Training

I. Purpose:

Conducting and reporting research ethically is fundamental to academic research and part of the mission of the University of Wisconsin Oshkosh. Responsible Conduct of Research (RCR) is defined as awareness and application of established professional norms and ethical principles in the performance of all activities related to scientific research. The behavior of researchers must inspire trust with the public and within the scientific community and among colleagues. The University strives to foster the highest scholarly and ethical standards among its students, faculty, and staff. The University has policies for reporting and dealing with research misconduct and provides training opportunities in research ethics.

Several federal requirements ensure those conducting research are trained in responsible conduct of research. The National Institutes of Health (NIH), National Science Foundation (NSF), and United States Department of Agriculture (USDA) National Institute of Food and Agriculture (NIFA) require research ethics training related to certain awards. Prime recipients are obligated to flow down grant terms and conditions related to training to sub-recipients.

II. Policy:

The University of Wisconsin Oshkosh requires responsible conduct of research training for the following types of research awards or grants:

National Institutes of Health (NIH)

The National Institutes of Health [NOT-OD-10-019](#) requires all NIH trainees, fellows, participants, and scholars receiving support through any NIH training, career development award, research education grant, and/or dissertation research grant receive training in responsible conduct of research. NIH provided updated guidance for the requirement for Instruction in the Responsible Conduct of Research (RCR) in [NOT-OD-22-055](#), beginning with applications submitted on or after September 25, 2022.

National Science Foundation (NSF)

The National Science Foundation, by mandate of United States Congress in the [America Competes Act Section 7009](#), requires all undergraduate students, graduate students, and postdoctoral researchers supported by NSF award funding at UW Oshkosh receive training in the Responsible and Ethical Conduct of Research (RECR). Beginning with applications submitted on or after July 31, 2023, per [NSF Proposal and Award Policies and Procedures Guide \(PAPPG 23-1\)](#), faculty and other senior personnel will also need to complete RECR training. A RECR written plan is not required to be included with proposal, however submission of the proposal certifies that a plan is in place and that the plan is subject to review upon request.

United States Department of Agriculture (USDA NIFA)

The United States Department of Agriculture (USDA) National Institute of Food and Agriculture (NIFA), in accordance with sections 2,3, and 8 of [2 CFR Part 422](#), added a requirement for responsible conduct of research training for specific awards. Principal investigators, co-investigators and participants paid from the grant must take responsible conduct in research training. This includes, but is not limited to, undergraduates, graduate students, postdoctoral researchers, and sub-recipient participants.

While training may not be required for all sponsors, responsible conduct in research training is recommended and available to all faculty, staff, and students engaging in research. Faculty and staff are encouraged to take the online training and provide training in responsible conduct of research to students working under all federally sponsored awards, regardless of funding sponsor.

III. Procedures

Individuals conducting research involving funding from NIH, NSF, and USDA NIFA are required to complete training in responsible and ethical conduct of research. The Office of Sponsored Programs will be the primary office responsible for compliance with the responsible conduct of research plan.

Identification and Notification:

The Office of Sponsored Programs will take the lead in notifying individuals of applicability and training requirements at time of grant award notice and setup. The training must be completed within 30 days. Payment from the grant may be withheld if training is not completed.

Training and Verification:

The University of Wisconsin Oshkosh's responsible conduct of research training emphasizes instructional areas suggested by the U.S. Department of Health and Human Services, Office of Research Integrity and guidelines from the National Institutes of Health. Responsible conduct of research training may occur in three components. A summary of all training requirements may be found in **Table 1: UW-Oshkosh's Responsible Conduct in Research Training Requirements Summary**.

To meet the requirements of NSF, NIH, and USDA-NIFA grant terms and conditions, the following responsible conduct of research training will be followed:

Component I: Responsible Conduct in Research training and format by funding agency

A. NIH Grants

The National Institutes of Health (NIH) requires a minimum of eight hours of face-to-face training every 4 years. NIH clarified that some interactive discussions may be achieved electronically through video conferencing, however video conferencing may not be the sole instruction method to meet the RCR requirement. The training requirement applies to trainees, fellows, participants, and scholars supported by certain types of D, F, K, R, T and U awards. The training requirement 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. The plan for meeting these requirements is included in the grant application. Grantees are expected to report on RCR activity in progress and final reports.

The NIH recommends the topics below for comprehensive research ethics training in [NOT-OD-22-055](#)):

- Conflict of interest- personal, professional, and financial- and conflict of commitment, in allocating time, effort, or other research resources
- Policies regarding human subjects; live vertebrate animal use in research and safe laboratory practices
- Mentor/Mentee responsibilities and relationships
- safe research environments (e.g., those that promote inclusion and are free of sexual, racial, ethnic, disability and other forms of discriminatory harassment)
- Collaborative research, including collaborations with industry investigators and institutions in other countries
- Peer review, including the responsibility for maintaining confidentiality and security in peer review
- Data acquisition and analysis; laboratory tools; management, sharing and ownership data acquisition and analysis; laboratory tools (e.g., tools for analyzing data and creating or working with digital images); recordkeeping practices, including methods such as electronic laboratory notebooks
- Secure and ethical data use: data confidentiality, management, sharing, and ownership
- Research misconduct and policies for handling misconduct
- Responsible authorship and publication
- the scientist as a responsible member of society, contemporary ethical issues in biomedical research, and the environmental and societal impacts of scientific research

The University of Wisconsin-Madison offers face-to-face classes that UW Oshkosh researchers may attend to fulfill the face-to-face training requirement. UW Oshkosh researchers may register as a special student here: <https://acs.wisc.edu/special-student-types/> and take one of the approved courses offered (listed here: <https://kb.wisc.edu/gsdminkb/page.php?id=33279#RCR>). Questions may be directed to the [Director of RCR Education](#) at UW-Madison.

B. NSF and USDA-NIFA Grants

Interactive online tutorials created by CITI Program (<http://citiprogram.org/>) will be made available to all identified individuals requiring training. The course content is tailored to the discipline. The following Responsible Conduct in Research Courses are available: RCR for Life Sciences, RCR for Social and Behavioral Science, RCR for Physical Science, or RCR for Arts and Humanities. Instructions for accessing the online CITI training may be located here: <https://uwosh.edu/sponsoredprograms/rcr/>.

The modules will be completed sequentially, though they do not need to be completed in one sitting. The amount of time to complete the interactive online tutorials is estimated to be between one and three hours. Individuals must complete the online RCR course either prior to or in the early weeks of the research work, and prior to receiving compensation.

Interactive online tutorials overview researchers' rights and obligations; collaboration, communication, and grants management; and intellectual property. More specifically, they address core elements of:

- Data acquisition & management
- Mentoring & Trainee responsibilities
- Research Misconduct
- Peer Review
- Authorship
- Collaborative Research

- Conflicts of Interest

The interactive online tutorials have a built-in system for verification. During registration, individuals provide their email address and indicate an affiliation with the University of Wisconsin Oshkosh. Upon tutorial completion, a completion report is kept in the online system, and a copy is emailed to the user. Please send a copy of the completion report to the Office of Sponsored Programs at OSP@uwosh.edu to verify training completion.

Component II: Individuals conducting experiments with human or animal subjects or hazardous biological materials require additional training as set forth by the University of Wisconsin Oshkosh:

- Human Subjects Research Training (IRB)
Prior to receiving IRB approval, Principal Investigators and their research staff must complete training in human research ethics. Training is conducted through [CITI Program](#). Additional information on human subjects research training is located here: <https://uwosh.edu/sponsoredprograms/irb/training/>.
- Animal Care and Use Training (IACUC)
Prior to receiving IACUC approval, Principal Investigators (PI) and their research staff are required to complete appropriate training in animal care and use. The training path required is based on the user's role and type of research. Animal Care and Use Certification involves in-person training as well as online training conducted through [CITI Program](#). Additional information on animal care and use training is located here: <https://uwosh.edu/sponsoredprograms/iacuc/training/>.
- Biological Safety Training (IBC)
Prior to receiving IBC approval, Principal Investigators (PI) and their research staff are required to complete biosafety training for research or teaching experiments involving hazardous biological materials, recombinant DNA or synthetic nucleic acids, or infectious human materials. Training is also required for faculty or staff that will be shipping regulated biological materials. Additional information on biosafety training is located here: <https://uwosh.edu/sponsoredprograms/ibc/training/>.

Component III: Training instruction from PI for students, postdocs, fellow researchers, and senior personnel on grant

All identified undergraduate students, graduate students, doctoral, postdoctoral, and fellow researchers must receive some in person instruction related to responsible conduct of research as part of their working relationship with faculty researchers. Training instruction to senior personnel on grants is also recommended. Given the diverse areas and experiences provided at the University of Wisconsin Oshkosh, it will be the responsibility of faculty mentors to devise and provide education that is appropriate for the content, context, and discipline of the research. Faculty mentors will submit verification to the Office of Sponsored Programs confirming that suitable preparation in the responsible and ethical conduct of research occurred. Verification of in-person training is submitted through the following Microsoft Form:

Responsible Conduct in Research Training Documentation: <https://forms.office.com/r/eMhhHUdavq>

This responsible conduct of research training plan is part of the University of Wisconsin Oshkosh's ongoing commitment to passing along high ethical standards to the next generation of scholars.

Table 1: UW Oshkosh’s Responsible Conduct in Research Training Requirements Summary

| Responsible Conduct of Research Training Requirements | | | | | | |
|---|---|--|---|---|---|--|
| | National Institutes of Health (NIH) certain D, F, K,R,T, U awards | National Science Foundation (NSF) | National Institute of Food and Agriculture (NIFA) | Project Involving Human Subjects | Project Involving Vertebrate Animals | Projects Involving Hazardous Biological Materials |
| Undergraduate Students | 8 hours of Face-to-Face instructor led training every 4 years | Online CITI RCR Training, Face-to-Face training with PI | Online CITI RCR Training, Face-to-Face training with PI | Online CITI Human Subjects Training | Online CITI and Face-to-Face Animal Certification | Online CITI Biosafety Training |
| Graduate Students | 8 hours of Face-to-Face Face instructor led training every 4 years | Online CITI RCR Training, Face-to-Face training with PI | Online CITI RCR Training, Face-to-Face training with PI | Online CITI Human Subjects Training | Online CITI and Face-to-Face Animal Certification | Online CITI Biosafety Training |
| Doctoral, Postdoctoral Researchers or Fellow Researchers | 8 hours of Face-to-Face Face instructor led training every 4 years | Online CITI RCR Training, Face-to-Face training with PI | Online CITI RCR Training (applies to subrecipient participants also), Face-to-Face training with PI | Online CITI Human Subjects Training | Online CITI and Face-to-Face Animal Certification | Online CITI Biosafety Training |
| Senior Personnel | N/A (Recommended: Online CITI RCR Training or Face-to-Face training with PI) | Online CITI RCR Training | N/A (Recommended: Online CITI RCR Training or Face-to-Face training with PI) | Online CITI Human Subjects Training | Online CITI and Face-to-Face Animal Certification | Online CITI Biosafety Training |
| Principal Investigator (PI)/, Project Director, Co-PI | 8 hours of Face-to-Face Face instructor led training every 4 years | Online CITI RCR Training PI must document Face-to-Face training with students | Online CITI RCR Training PI must document Face-to-Face training with students | Online CITI Human Subjects Training | Online CITI and Face-to-Face Animal Certification | Online CITI Biosafety Training |