

1 **PROCEDURE NAME (R*)**

2 Training in the Responsible Conduct of Research and Scholarship (RCRS)

3
4 **PROCEDURE NUMBER (O*)**

5 TBD

6
7 **INITIAL ADOPTION AND EFFECTIVE DATE (R*)**

8 TBD

9
10 **PROCEDURE APPLICABILITY (R*)**

11 This procedure applies to faculty, students, trainees, staff, employees, visiting
12 scholars, key personnel, project team members, and all other members of UofL's
13 research community, as well as an individual who is responsible for the design,
14 proposal, conduct, and/or reporting of research, irrespective of discipline,
15 regardless of pay, leave status, or discipline (collectively
16 "Scholar(s)/Researcher(s)"). This procedure applies to Scholar(s)/Researcher(s)
17 engaged in any facet of research and scholarship, regardless of internal or external
18 support, including (but not limited to):

- 19
- 20 • Publishing activities (journal articles, book writing, literary criticism, legal
21 research, technical and institutional research reports, literature reviews, and
22 historical scholarship, among other forms)
 - 23 • Oral or poster presentations of research/scholarship
 - 24 • Collection and analysis of data, information, biospecimens or records
 - 25 • Inclusion as personnel on sponsored research or scholarship grants/awards
 - 26 • Inclusion as personnel on internally funded research or scholarship
27 grants/awards
 - 28 • Development and/or leadership of centers that generate new knowledge,
29 research or scholarship
 - 30 • Media contributions
 - 31 • Creative expression/performance and visual arts activities (compositions,
32 presentations, performances, exhibits and similar projects)
- 33

34 **PROCEDURE STATEMENT (R*)**

35 All Scholar/Researchers at UofL must complete training in the Responsible Conduct
36 of Research and Scholarship (RCRS) in accordance with this administrative
37 procedure.

38
39 This administrative procedure includes two separate and distinct RCRS training
40 requirements: 1) Baseline RCRS training for all Scholar/Researchers and 2) Federal

41 Funding RCRS training for all Scholar/Researchers participating in Research
42 supported and/or required by designated federal funding agencies.

43

44 **1. Baseline RCRS Training**

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46 Two complimentary baseline RCRS training components are required for all
47 Scholar/Researchers: A) an online RCRS basics course in CITI and B) an in-person
48 RCRS training requirement that will be fulfilled as outlined below.

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50 **A. Online RCRS Basics Course in CITI**

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52 The first baseline RCRS training component requires the completion of a
53 basic online CITI course with selected modules based on the career level of
54 the Scholar/Researchers.

55

- 56 • Undergraduate students and professional students will complete the
57 'RCRS Basic Course for Undergraduate/Professional Students'
58 consisting of at least the following modules:

59

- Introduction to RCRS

60

- Research Misconduct

61

- Authorship

62

- Plagiarism

63

- Mentorship and Healthy Research Environments

64

- 65 • All other Scholars/Researchers will complete the 'RCRS Basic Course

66

- 67 for Faculty, Trainees, Graduate Students, and Staff' consisting of at

68

- 68 at least the following modules:

69

- Collaborative Research

70

- Mentorship and Healthy Research Environments

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- Data Management

72

- Reproducibility of Research Results

73

- Plagiarism

74

- Authorship

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- Peer Review

76

- Research Misconduct

77 With review and approval from the Office of Research Integrity,
78 units/departments may develop and offer content equivalent alternatives to
79 the 'RCRS Basic Course for Faculty, Trainees, Graduate Students, and Staff'.
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81 **B. In-Person RCRS Requirement**

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83 The second baseline RCRS training component requires participation in at
84 least one in-person RCRS training event/discussion (one hour minimum).
85 Video conferencing shall not be an acceptable means for meeting the in-
86 person RCR requirement (in alignment with NIH policy). In-person training
87 may be completed through participation in, or presentation of, on campus
88 RCRS sessions (e.g., events sponsored by the Office of Research Integrity),
89 research ethics/methods coursework (e.g., BIOC630), and departmental
90 events and research team meetings involving discussion of RCRS topics
91 aligned with certification parameters with prior written approval provided by
92 the Office of Research Integrity. On campus opportunities for in person
93 RCRS training will be posted on the Office of Research Integrity website.
94 Additional in-person training opportunities (e.g., external conference RCR
95 events) may fulfill this requirement with the prior written approval of the
96 Office of Research Integrity. Units/departments hosting approved in person
97 sessions are encouraged to submit details to the Office of Research Integrity
98 so the sessions can be advertised broadly. Waiver of the baseline in-person
99 RCRS requirement requires written approval from the Office of Research
100 Integrity.

101 102 103 **C. Timeline for Completion of Baseline RCRS Training**

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105 All University personnel who meet the definition of Scholar/Researcher and
106 who are employed by the University, enrolled in coursework, or otherwise
107 involved in Research or Scholarship prior to March 1, 2024, must:

- 108
- 109 • Complete the online RCRS Basics Course appropriate to the career
- 110 stage by October 1, 2024.
- 111 • Complete the in-person RCRS requirement by January 1, 2025.
- 112 • If supported in part or entirely through sponsored research funding,
- 113 complete baseline RCRS training within the timeframes established by
- 114 the sponsor if the timeframe is sooner than outlined above (contact
- 115 the Office of Research Integrity with questions regarding applicability).
- 116

117 All University personnel who meet the definition of Scholar/Researcher and
118 who are for the first time employed by the University, enrolled in
119 coursework, or otherwise involved in Research or Scholarship after March 1,
120 2024, must:

- 121
- 122 • Complete the online RCRS Basics Course appropriate to the career
- 123 stage within 90 days of employment start date (for faculty, staff, and
- 124 trainees), enrollment date (for graduate students), or the date of
- 125 involvement in a Research or Scholarship project (for undergraduate
- 126 and professional students).

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- Complete the in-person RCRS requirement within 12 months of employment start date (for faculty, staff, and trainees), enrollment date (for graduate students), or the date of involvement in a Research or Scholarship project (for undergraduate and professional students).
 - If supported in part or entirely through sponsored research funding, complete baseline RCRS training within the timeframes established by the sponsor if the timeframe is sooner than outlined above (contact the Office of Research Integrity with questions regarding applicability).
 - If RCRS training has been completed at a previous institution, contact the Office of Research Integrity to discuss the transferability of credit.

138 **D. Completion of Refresher RCRS Training**

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140 Refresher online training via the CITI platform is required at least every four

141 (4) years and requires the completion of at least two refresher modules

142 (selected at the discretion of the Researcher from an approved menu)

143 included in a 'RCRS Refresher Course for UofL Researchers.' 'RCRS Refresher

144 Course for UofL Researchers' shall include new modules in addition to those

145 covered in the RCRS Basics Courses.

146

147 Refresher baseline in-person training is required at least every four (4) years

148 (i.e., at least one RCR event/discussion (one hour minimum) every four (4)

149 years).

150

151 Undergraduate students, graduate students, and postdoctoral trainees

152 engaged in Research or Scholarship, must complete baseline RCRS training

153 during each career stage and no less often than every four (4) years.

154 **2. Federal Funding RCRS Training**

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157 Scholars/Researchers participating or who expect to participate in Research or

158 Scholarship supported by designated federal funding agencies are required to

159 complete additional RCR training as a condition of receiving such funding or

160 participating in such project(s). Federal RCR training components are designed to

161 meet designated federal funding agency requirements, which may change

162 occasionally.

163

164 Federal Funding RCRS Training, when required by designated federal funding

165 agencies, includes: A) an online 'RCRS Federal Course' (exclusively including

166 federally required content not previously covered in baseline RCR training)¹ and B)

¹ RESERVED: NO CURRENT FEDERAL REQUIREMENT. Subject to implementation of National Security Presidential Memorandum 33 and/or CHIPS & Science Act. This administrative

167 in-person federal RCRS training. Currently only required for certain National
168 Institutes of Health (NIH) grant programs as covered by NOT-OD-10-019. A total of
169 at least eight in-person contact hours are required by this policy.

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171 **A. Online 'RCRS Federal Course'**

172 The online RCRS Federal Course shall cover topics required by federal guidelines
173 whose modules and course offerings shall be promulgated by the designated
174 federal funding agency or their designee. These topics are regularly updated and
175 include components such as research security threat awareness, identification,
176 and insider threats. Training shall be required annually. Training programs shall
177 include, but not limited to, instruction in the following areas²:

178

- 179 • Understanding why research security is important for the U.S. R&D enterprise
180 and what constitutes foreign interference.
- 181 • The importance of non-discrimination as a guiding principle of U.S. research
182 security policy.
- 183 • Disclosure policy and how it is used, particularly with regard to conflicts of
184 interest and conflicts of commitment.
- 185 • Identifying, managing, and mitigating risk, particularly in the context of foreign
186 talent programs and insider threats.
- 187 • Proper use of funds.
- 188 • The value of and challenges with international collaboration.
- 189 • Responsible international travel practices.
- 190 • Basic cybersecurity hygiene and data protection practices, including
191 recognition of and response to social engineering threats and cyber breaches.
- 192 • Intellectual property and data protection requirements and best practices.

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194 **B. In-Person Federal RCR Requirement⁴**

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196 In-person federal RCRS training requires at least eight (8) in-person contact
197 hours of instruction. In-person training may be completed through participation
198 in, or presentation of, on campus RCRS sessions (e.g., events sponsored by the
199 Office of Research Integrity), research ethics/methods coursework (e.g.,
200 BIOC630), and departmental events and research team meetings involving
201 discussion of RCRS topics aligned with certification parameters and prior written
202 approval provided by the Office of Research Integrity. Additional in-person
203 training opportunities (e.g., external conference RCRS events) may fulfill this

procedure will be updated when requirement is established by federal agencies and the Office of Research Integrity will communicate requirement to campus at that time.

² The topics and education categories outlined in this section are based on Subcommittee on Research Security National Science and Technology Council (NSTC) Office of Science and Technology Policy which was formed to review and promulgate guidelines based on NSPM-33. The NSTC Group's recommendations are still in draft form, however, the DOD, DOE, NASA, NIH, and NSF have agreed to implement their recommendations.

204 requirement (in part or in whole) with the prior written approval of the Office of
205 Research Integrity.

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208 **C. Timeline for Completion of Federal Funding RCRS Training**

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210 All University personnel participating in Research or Scholarship supported by
211 designated federal funding agencies must complete Federal Funding RCRS
212 Training within the timeframes established by the federal sponsor.

213

214 **D. Completion of Refresher Federal Funding RCRS Training**

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216 Refresher federal RCRS training will be required at least every four (4) years or
217 more frequently if required by a federal funding agency.

218 **Tracking RCR Training Status**

219

220 **Online RCR Training** - Records for RCRS training completed in CITI
221 will be automatically downloaded to UofL systems, which will serve as
222 the institutional record of this component of the requirement.
223 Completion records will be available on established institutional
224 reporting systems.

225

226 **In-Person RCRS Training** - Records for approved RCR training
227 completed in person will be added to UofL systems by the Office of
228 Research Integrity and will serve as the institutional record of this
229 component of the requirement. Completion records will be available
230 on established institutional reporting systems.

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232 **Administrative Sanctions**

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234 Researchers who have not completed RCRS training as outlined in this
235 administrative procedure may incur administrative sanctions. Sanctions will
236 be handled on a case-by-case basis and may include, but are not limited to:

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- 238 • Suspension of rights to submit sponsored proposals/applications
239 and/or protocols for regulatory approval (e.g., IACUC, IBC, or IRB
240 submissions).
- 241 • Removal from the research team under sponsored programs and/or
242 regulatory protocols.

- 243 • Delay in establishing or suspending access to research funds (e.g.,
244 sponsored funds, start-up funds, research infrastructure funds,
245 internal grant funds).
246 • Transfer of compensation expenditures from sponsored projects for
247 non-compliant Researchers.

248 **DEFINITIONS (O*)**

249 **Research and Development.** Research means a systematic study directed
250 toward fuller scientific knowledge or understanding of the subject studied.
251 This definition encompasses basic and applied research, including research
252 training activities not included in formal instruction and all development
253 activities. Development is the systematic use of knowledge and
254 understanding gained from research, directed toward the production of
255 useful materials, devices, systems, or methods, including the design and
256 development of prototypes and processes. For purposes of this policy, both
257 Research and Development apply.

258 **Research Mentor** means the individual who is directly responsible for the
259 professional development (both scientific and professional development) of a
260 student or research trainee. In this administrative procedure, this term
261 encompasses, but is not limited to, a Principal Investigator responsible for
262 overseeing personnel participating in sponsored projects/awards.

263 **Scholar(s)/Researcher(s)** means faculty, students, trainees, staff,
264 employees, visiting scholars, key personnel, project team members, and all
265 other members of UofL's research community, as well as an individual who is
266 responsible for the design, proposal, conduct, and/or reporting of research,
267 irrespective of discipline, regardless of pay or leave status.

268 **Scholarship** means the creation of new knowledge or the creation of novel
269 expressions of knowledge in any form.

270 **RESPONSIBILITIES (O*)**

271 **Research Mentor**

- 272 • All Research Mentors are expected to engage in Responsible Conduct
273 of Research training as an essential component of promoting research
274 excellence.

- 275 • Be knowledgeable of RCRS training requirements and available training
276 opportunities for Scholars/Researchers working under their
277 mentorship.
- 278 • Ensure Scholars/Researchers under their supervision complete RCR
279 training requirements appropriate for their career stage by the
280 established deadlines and as required by sponsors.
- 281 • Determining if a sponsor has requirements for RCRS training and
282 ensuring the implementation of an RCRS plan that meets those specific
283 requirements (when applicable).
- 284 • Reporting as required under the terms of a specific funding program
285 (when applicable).
- 286 • Maintaining sufficient records to demonstrate that all
287 Scholars/Researchers under their supervision have received the
288 required RCRS training.

289 **Scholar/Researchers**

- 290 • All Scholars/Researchers are expected to engage in RCRS training as
291 an essential component of promoting research excellence.
- 292 • Be knowledgeable of RCRS requirements applicable to their career
293 stage and as required by sponsors.
- 294 • Complete RCRS requirements applicable to their career stage by the
295 established deadlines and as required by sponsors and this
296 administrative procedure.

297 **Institutional Responsibilities**

- 298
- 299 • Provide approved RCRS training resources.
- 300 • Monitor/track completion of RCRS training requirements under this
301 administrative procedure.
- 302 • Maintain assurances with federal agencies regarding compliance with
303 the RCR training requirements.
- 304

305 **FORMS/ONLINE PROCESSES (O*)**

306

307 Include links to related forms or online processes.

308

309 **RESPONSIBLE AUTHORITY (R*)**

310 Executive Vice President, Research and Innovation

311

312 **RESPONSIBLE UNIVERSITY DEPARTMENT/DIVISION (R*)**

313 Office of Research Integrity
314 300 E Market, Suite 300, Louisville, KY 40292
315 Phone: 1-502-852-2454
316 Email: ori@louisville.edu

317

318 **HISTORY (R*)**

319 Revision Date(s): TBD
320 Reviewed Date(s): TBD

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322 The University Policy and Procedure Library is updated regularly. To ensure a
323 printed copy of this document is current, please access it online at
324 <http://louisville.edu/policies>.

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326 **R* = Required O* = Optional**