

UW-La Crosse Responsible & Ethical Conduct of Research (RECR) Policy

UW-La Crosse (UWL) has established Responsible & Ethical Conduct of Research (RECR) training requirements for undergraduate students, graduate students, postdoctoral researchers (e.g., research associates), faculty, and other senior personnel participating in projects funded by UWL Undergraduate Research & Creativity Committee (URCC) grants; UWL Research, Service & Educational Leadership (RSEL) grants; and/or projects sponsored by federal agencies with RECR requirements.

1. Applicability

The UWL RECR policy applies to all projects funded by UWL Undergraduate Research & Creativity Committee (URCC) grants and UWL Research, Service & Educational Leadership (RSEL) grants.

Additionally, the following federal agencies have set forth RECR requirements for all institutions receiving agency funding:

- National Institutes of Health (NIH)
- National Science Foundation (NSF)
- United States Department of Agriculture (USDA)

Each federal agency listed above defines training expectations for undergraduate students, graduate students, postdoctoral researchers, faculty, and other senior personnel participating in federally funded projects. This policy defines UWL's RECR requirements to ensure compliance with federal regulations.

National Institutes of Health (NIH) has extensive RECR training requirements (see [NOT-OD-10-019](#)) for specific funding mechanisms. However, UWL's most common funding mechanism from the agency (R15) is not subject to the requirement. Principal investigators (PIs) applying to NIH funding mechanisms subject to the RECR requirements (e.g., R25, R36) should contact the Office of Research & Sponsored Programs (ORSP) for guidance on establishing an RECR student training plan, which is required prior to application submission.

2. Background

The responsible and ethical conduct of research (RECR) is critical for excellence, as well as public trust, in the scholarly endeavors of all disciplines. Consequently, education in RECR is essential in the preparation of future researchers and engineers.

For projects funded by NSF, Section 7009 of the America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science (COMPETES) Act (42 U.S.C. 1862o–1) requires that “each institution that applies for financial assistance from the Foundation for science and engineering research or education describe in its grant proposal a plan to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduate students, graduate students, and postdoctoral researchers, faculty, and other senior personnel participating in the proposed research project, including –

- (1) mentor training and mentorship;
- (2) training to raise awareness of potential research security threats; and
- (3) federal export control, disclosure, and reporting requirements.”

For projects funded by USDA, sections 2, 3, and 8 of 2 CFR Part 422 require that “institutions that conduct USDA-funded extramural research must foster an atmosphere conducive to research integrity, bear primary responsibility for prevention and detection of research misconduct, and maintain and effectively communicate and train their staff regarding policies and procedures. [...] Awards recipients shall [...] make available to [the agency] the policies, procedures, and documentation to support the conduct of the training.”

For projects funded by NIH, Notice Number NOT-OD-10-019 “requires that all trainees, fellows, participants, and scholars receiving support through any NIH training, career development award (individual or individual), research education grant, and dissertation research grant must receive instruction in research conduct of research.”

3. Institutional Responsibilities

- a. An institution must have a plan in place to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduate students, graduate students, postdoctoral researchers, faculty, and other senior personnel participating in projects sponsored by designated federal agencies. Institutional certification to this effect is required for each proposal to designated federal agencies.
- b. While training plans are not generally required to be included in proposals submitted to federal agencies, institutions are advised that they are subject to review upon request.
- c. An institution must designate one or more persons to oversee compliance with RECR training requirements.
- d. Institutions are responsible for verifying that undergraduate students, graduate students, postdoctoral researchers, faculty, and other senior personnel participating in projects sponsored by designated federal agencies have received training in the responsible and ethical conduct of research.

3. What is RECR?

RECR is a widely accepted set of ethical standards for conducting research; put simply, RECR is about doing research with integrity. The core elements of RECR include the following:

1. Authorship
2. Data Management
3. Research Involving Human Subjects (IRB)
4. Using Animal Subjects in Research (IACUC)
5. Peer Review
6. Conflicts of Interest
7. Research Misconduct
8. Collaborative Research
9. Mentoring

4. UWL RECR Policy for Undergraduates, Graduates, Postdoctoral Researchers, Faculty, and Other Senior Personnel

UWL is committed to maintaining the integrity fundamental to scholarly activities through the responsible and ethical conduct of its faculty, staff, and students. It is in that spirit that UWL wants its students, staff, and faculty engaged in scholarship (including research and creative projects) to be educated in sound ethical and responsible conduct of research standards so they can make informed decisions. Based on that principle, and to comply with federal regulations,

all students (undergraduates, graduate students, and postdoctoral researchers), faculty, and other senior personnel supported by designated UWL and federal agency grants must undergo the RECR training outlined in the following tables.

RECR Training Requirements for NSF and USDA Sponsored Projects¹

<i>Must be completed within</i>	<i>Required Training Modules</i>
First 2 weeks of project work	<ol style="list-style-type: none"> 1. Research Misconduct (RCR-Basic) (ID 16604) 2. Conflicts of Interest (RCR-Basic) (ID 16599) 3. Data Management (RCR-Basic) (ID 16600) 4. Mentoring (RCR-Basic) (ID 16602) 5. <i>For USDA sponsored projects only:</i> Authorship (RCR-Basic) (ID 16597)
First 6 weeks of project work	Additional modules (if defined by RECR Training Plan Form)

RECR Training Requirements for UWL URC and RSEL Grant Funded Projects

<i>Must be completed within</i>	<i>Undergraduate Students</i>	<i>Graduate Students</i>
Prior to student acceptance of the grant	<ol style="list-style-type: none"> 1. Research Misconduct (RCR-Basic) (ID 16604) 2. Conflicts of Interest (RCR-Basic) (ID 16599) 3. Data Management (RCR-Basic) (ID 16600) 	
Prior to grant proposal submission		<ol style="list-style-type: none"> 1. Research Misconduct (RCR-Basic) (ID 16604) 2. Conflicts of Interest (RCR-Basic) (ID 16599) 3. Data Management (RCR-Basic) (ID 16600)

- All students, faculty, and other senior personnel working on designated projects must complete, within the first two weeks of their project work, the following CITI modules, accessible at <https://www.citiprogram.org/> (see <https://www.uwlax.edu/grants/responsible-conduct-of-research-rcr/> for information on how to register for and access CITI):
 1. Research Misconduct (RCR-Basic) (ID 16604)
 2. Conflicts of Interest (RCR-Basic) (ID 16599)
 3. Data Management (RCR-Basic) (ID 16600)
 4. *For NSF or USDA sponsored projects only:* Mentoring (RCR-Basic) (ID 16602)
 5. *For USDA sponsored projects only:* Authorship (RCR-Basic) (ID 16597)
- For proposals to designated federal agencies, additional CITI modules may be required if identified by the faculty member serving as PI (via the RECR Training Plan Form) before an application is submitted. The modules must be completed by all students and project personnel within the time frames specified in the tables above. Information on accessing

¹ PIs applying to NIH funding mechanisms subject to RECR training requirements must consult with ORSP to develop a compliant RECR training plan prior to application submission.

CITI training is located at <https://www.uwlax.edu/grants/responsible-conduct-of-research-rcr/>.

- c. Students, faculty, and staff who need approval for training in the protection of human subjects and/or animal care and use will need to complete the current Institutional Review Board (IRB) and/or Institutional Animal Care and Use Committee (IACUC) processes.
- d. Students, faculty, and staff who do not complete the RECR training by the designated deadlines must stop all project work, paid and unpaid, until they are in compliance with this policy.
- e. Upon successful completion of the training, students, faculty, and staff must submit their signed training verification form and documentation to the Office of Research & Sponsored Programs. "Successful completion" means that a score of 80% or better was earned for **each** required module.
- f. It is UWL's expectation that students, faculty, and staff will continue to engage in ethical conduct of research and creative activities through daily conversations and the use of best practices in scholarly spaces.
- g. RECR training is valid for five years from the date of completion.

5. UWL Policy for Principal Investigators (PIs) with or Applying for Awards from Designated Federal Agencies

In addition to completing RECR training requirements specified in section 4, PIs are expected to provide individualized RECR training to their students and are encouraged to use additional RECR resources listed below in section 7.

- a. Before an application to a designated federal agency is submitted, the PI must complete an RECR training plan form and submit it to the Office of Research & Sponsored Programs (ORSP). RECR training is required for all students, postdoctoral researchers, faculty, and other senior personnel participating in projects sponsored by designated federal agencies whether their roles are paid by the award, paid by an alternate funding source, or unpaid (e.g., students participating for course credit). ORSP must receive the form before application submission.
- b. After an award is initiated, PIs must email ORSP (grants@uwlax.edu) to provide names and student/person ID numbers of students, postdoctoral researchers, faculty, or other senior personnel who are added to a project funded by a designated federal agency.
- c. PIs will be responsible for communicating RECR requirements with the student(s), postdoctoral researcher(s), faculty, and other senior personnel working on any project funded by a designated federal agency.
- d. PIs must ensure that all students, postdoctoral researchers, faculty, and other senior personnel working are in compliance with this policy, or they must not be allowed to work (paid or unpaid) on projects funded by a designated federal agency.
- e. It is UWL's expectation that PIs will continue to engage and educate their students and other project personnel in the ethical conduct of scholarship through daily conversations and the use of best practices in their individual scholarly spaces. A number of RECR resources are listed in section 7, which may assist PIs in carrying out meaningful discussions in their scholarly spaces on critical elements of RECR.

6. UWL Policy for Undergraduate and Graduate Students with UWL Scholarly Grants

UWL is committed to training students to be professional scholars. In that spirit, it is essential that students engaged in research and creative endeavors are aware of the ethical considerations related to the responsible conduct of all scholarship. Thus, all undergraduate and graduate students engaged in scholarly projects funded by UWL grants must complete RECR training in the [CITI program](#). Students receiving [Undergraduate Research & Creativity \(URC\) Grants](#) or [Graduate Research, Service, and Educational Leadership \(RSEL\) Grants](#) must complete the modules outlined in section 4 of this policy. Please see the CITI [registration instructions](#).

7. RECR Resources

- a. UWL RECR website for UWL student scholarly grants with links to online training: <https://www.uwlax.edu/grants/responsible-conduct-of-research-rcr/>
- b. UWL RECR website for NSF, USDA, and NIH funded projects: <https://www.uwlax.edu/grants/responsible-conduct-of-research-for-federal-agencies/>
- c. Office of Research Integrity General RCR training resources: <https://ori.hhs.gov/general-resources>
- d. NIH research integrity resources: https://grants.nih.gov/policy/research_integrity/index.htm
- e. NSF RECR resources: <https://www.nsf.gov/od/recr.jsp>
- f. USDA RECR information: <https://www.nifa.usda.gov/grants/regulations-and-guidelines/research-misconduct/responsible-ethical-conduct-research>
- g. Coordinated Science Laboratory, National Center for Professional & Research Ethics: <https://csl.illinois.edu/research/centers/national-center-professional-research-ethics>
- h. Online Ethics Center Enhancements and America COMPETES: <https://onlineethics.org/oec-and-america-competes-act>
- i. CITI RECR Course: <https://about.citiprogram.org/en/series/responsible-conduct-of-research-rcr/>

7. Implementation Notes

- a. The Office of Research & Sponsored Programs (ORSP) will maintain documentation of compliance.
- b. ORSP will remind faculty/staff with funding from designated federal agencies of their RECR requirements when an award is funded and at the beginning of every semester.