Research Services and Sponsored Programs

Policy 10.001

Area: Responsible Conduct of Research

Authority: Dean of Graduate School and Research

History: Placed into effect January 2010

Responsible Office: Office of Research Services and Sponsored Programs

Background. Effective January 4, 2010, the National Science Foundation (NSF) began requiring that, at the time of proposal submission to NSF, a proposing institution's Authorized Organizational Representative certify that 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. The implementation of this requirement is authorized by the America COMPETES Act becomes law (42 U.S.C. 1862o-1)

SEC. 7009. RESPONSIBLE CONDUCT OF RESEARCH.

The Director shall require 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 participating in the proposed research project.

Purpose and Applicability. To establish procedures which:

a. Encourage the responsible conduct of research.
b. Provide for appropriate certifications.
c. Describe a process for providing a campus-wide responsible conduct of research curriculum and training program.

1. Encourage responsible conduct of research.

UNCW expects all investigators to engage in the responsible conduct of research. Violations of research ethics are taken seriously and sanctions for infractions are serious. UNCW requires all members of its research community to be knowledgeable about and practice the tenants of responsible conduct of research.
2. Certification process.

UNCW requires that all investigators submitting a research proposal to the National Science Foundation, prior to submission, certify via RAMSeS (electronic certification) or via an email to the Authorized Organizational Representative that they agree to comply with the plan set out below to provide required RCR training for all undergraduate, graduate and postdoctoral research associates involved in the project.

3. Campus RCR training program.

Implementation of UNCW’s RCR training program will occur in phases.

- During the first and second quarters of 2010 the training program will consist of using a combination of the CITI RCR module with individual instruction for undergraduate, graduate and postdoctoral research associates on NSF funded projects. Individualized instruction shall be provided by the principal investigator and other appropriate faculty and staff and must include no fewer than 5 contact hours. Content for this instruction must include in-depth discussions on what constitutes research misconduct (plagiarism, falsification and fabrication). Additionally, principal investigators must discuss at least five of the following recommended topics based upon the PI’s best judgment of what is most applicable to the project:
  - Acquisition, Management, Sharing and Ownership of Data
  - Animal Welfare
  - Authorship/Plagiarism
  - Collaboration
  - Conflict of Interest
  - Human Subjects Protections
  - Mentoring
  - Peer Review
  - Research Misconduct
- Prior to the third quarter of 2010 UNCW will deploy a campus-wide RCR training program that includes the use of the CITI RCR training modules and combination of classroom instruction and seminars equivalent to a minimum of 5 contact hours with content approved by the Chief Research Officer.
- Documentation of the appropriate certifications (CITI/individualized instruction) shall be maintained by the UNCW Regulatory Compliance Officer and the principal investigator.

4. Resources.

UNCW Responsible Conduct of Research [www.uncw.edu/orssp/research.html](http://www.uncw.edu/orssp/research.html)

Contact: Regulatory Compliance Officer, 910.962.7774,
[www.uncw.edu/orssp/research.html](http://www.uncw.edu/orssp/research.html)