



COMPASS

Research Integrity

- Responsible Conduct of Research (RCR) - Training
- Financial Conflict of Interest (FCOI) - Training and Disclosure

The logo features a dark blue semi-circle on the left, with several orange and grey lines radiating from its edge to the right, forming a fan shape. The word "COMPASS" is written in a bold, blue, sans-serif font across the top of this fan shape.

COMPASS

NSF, NIH and USDA Requirements for Responsible Conduct of Research (RCR) Education

On August 20, 2009, the National Science Foundation (NSF) published (74 FR 42126) a new requirement for RCR education. For proposals submitted on or after January 4, 2010 and subsequently awarded, institutions are responsible for verifying that undergraduate students, graduate students and postdoctoral researchers supported by NSF to conduct research have received RCR training. At this time Auburn is using the *Collaborative Institutional Training Initiative* (CITI) RCR online program to meet the NSF requirement. (NSF Resources on RCR: <http://edocket.access.gpo.gov/2009/E9-19930.htm>, <http://www.nsf.gov/pubs/policydocs/rcr/rcrfaqs.jsp>)

The National Institutes of Health (NIH) also require RCR education for certain types of awards. The NIH Policy on Responsible Conduct of Research Education took effect for all new and renewal applications submitted on or after January 25, 2010, and for all continuation (Type 5) applications with deadlines on or after January 1, 2011. The CITI RCR modules are also used to partially satisfy the NIH requirements. (<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-10-019.html>)

USDA's National Institute of Food and Agriculture is now requiring training in the responsible conduct of research (RCR) for any faculty, staff, or students participating in NIFA research projects. The training requirement became effective in February 2013, must be documented and is subject to NIFA review. CITI is the training tool being used by Auburn. (http://research.ufl.edu/compliance/pdf/nifa_213.pdf)



COMPASS

Financial Conflict of Interest (fCOI)

Training and Disclosures based on sponsor requirements.

The Public Health Service (PHS)2012:

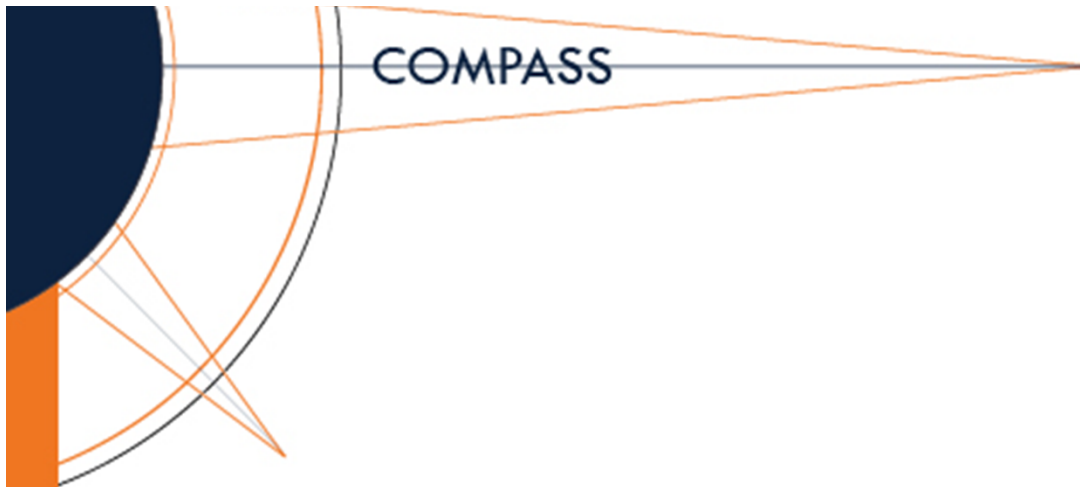
- Investigator: Any person, regardless of title or position, who is responsible for the **design, conduct, or reporting** of **research** funded by the PHS, or proposed for such funding, **including** collaborators and consultants.
- CITI Training
- COI Disclosures (COI SMART System)



COMPASS

Consequences of Non-Compliance

- Suspension of research project.
- Inability to use data or publish results.
- Inability to receive funding from federal grants.
- Termination of employment.
- Immediate shut-down of ALL research at the institution.
- The exposure of the researcher and the institution to liability.



"The ultimate responsibility for the ethical conduct of science resides within the institution which conducts scientific research and with the individual scientist. Research institutions should ensure that rigorous scientific standards are upheld by each of their faculty, staff, and students and should extend these standards to all reports, publications, and databases produced by the institution."

- American Medical Association (1997) Code of Medical Ethics



Picture Courtesy of: J. Smith
amehda2@comcast.net



COMPASS

What Are We Doing? Program Review

Looking at Active PHS, NSF and NIFA Awards (Using Banner)

- PHS Awards (FCOI)
 - To ensure training (CITI) and disclosure (COI SMART System)
- NSF and NIFA Awards (RCR)
 - To ensure appropriate RCR training (CITI)

The logo features a dark blue semi-circle on the left, with an orange vertical bar extending downwards from its base. A thin grey line curves from the top of the semi-circle towards the right. The word "COMPASS" is written in blue, uppercase letters along this grey line. Two orange lines form a wide, shallow cone that originates from the top of the semi-circle and extends to the right, framing the grey line.

COMPASS

Compliance Cheat sheet

- NSF – RCR Training
 - *Prior to Payment on Award*
- USDA - RCR training
 - *Upon award*
- PHS – Investigator FCOI Training and Disclosure
 - *Prior to Proposal Submission (Training and Disclosure)*
 - *Confirm Disclosures at Award*
 - *Additional Training & Disclosure Requirements*