

Institutional Handbook of Operating Procedures Policy 11.01.09	
Section: Research	Responsible Vice President: Executive VP & Provost
Subject: Responsible Conduct of Research	Responsible Entity: Office of Research Integrity and Regulatory Affairs (RIRA)

I. Title

Policy on Responsible Conduct of Research for Research Eligible Faculty and Staff, including Postdocs and Visiting Scientists (herein referred to as RCR for the research community.).

II. Policy

The requirement applies to all [research](#) activities, and all members of the research community and is independent of the source of research support.

The responsible conduct of research aligns with the interests of research and scholarly activities in accordance with UTMB, [State](#), and [Federal Government](#) regulations. This policy aims to provide a shared baseline understanding of the fundamental concepts and principles for the Responsible Conduct of Research (RCR) that may be used to nurture environments and spaces that contribute to ethical and professional decision-making in research activities at UTMB. It is anticipated that upfront guidance and continued training will better protect the research community from accusations of Research Misconduct

There are two components to this policy:

Level 1 – Fundamental concepts in RCR - UTMB requires all in the research community to complete the Collaborative Institutional Training Initiative (CITI) program in RCR and a refresher in RCR every four calendar years.

Level 2 - Annual Update – In addition to the RCR basic training, the research community must attend at least one in-person training course in RCR annually by calendar year as described below in Section III.

Violation of this policy may result in disciplinary action up to and including termination for employees; a termination of employment relationship in the case of contractors or consultants; or suspension. Additionally, individuals may be subject to loss of access privileges and civil and/or criminal prosecution.

III. Procedures

The CITI program is available online via the website <https://citiprogram.org>. CITI membership is transferrable from one institution to another.

Level 1

For this first year of the mandatory RCR Training, the research community must complete the CITI RCR training module by Dec 31st, 2024.

For persons with a hire date on or after Jan 1st, 2025, CITI RCR training must be completed within ninety days of hire date.

The level 1 training consists of a one-course instructional module made up of substantive modules that cover training in topics such as conflict of interest, mentor/mentee responsibilities and relationships, safe research environments, collaborative research, peer review, data acquisition and analysis, secure and ethical data use, responsible authorship and publication, and the scientist as a responsible member of society. To complete this module, sign into CITI, then select UTMB as the institution. Scroll to locate the RCR module. When the module is completed, forward the completion certificate to RCR@utmb.edu.

Level 2

Option A – Members of the research community may elect to lead an in-person panel discussion in RCR for others, including graduate students and postdocs, or at a department meeting. If this option is selected, please work with RIRA to be sure that the topic aligns with the RCR requirements. Failure to do so may result in credit not being received for the session.

OR

Option B – Research community members may elect to attend an in-person RCR workshop of choice as offered at UTMB. Please notify RIRA of your attendance at RCR@utmb.edu.

Level 2 components must be completed on an ongoing basis by Aug 31st of the third year. The RIRA office may send emails periodically to request an updated status of the completion of RCR requirements.

IV. Definitions

Research Misconduct

Fabrication, falsification, plagiarism, in proposing, performing, or reviewing research or in reporting research results. (a) Fabrication is making up data or results and recording or reporting them. (b) Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research. (c) Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit. (d) Research Misconduct does not include honest error or differences of opinion.

V. Relevant Federal and State Statutes

This section includes hyperlinks to any related federal or state laws.

[NSPM-33](#)

[National Science Foundation](#)

[Department of Health and Human Services \(HHS\)](#)

VI. Relevant System Policies and Procedures

[UTS Board of Regents Rules 30105](#)

[HOP 3.7.1: Sexual Harassment & Sexual Misconduct](#)
[UTS 184: Consensual Relationships](#)

VII. Related UTMB Policies and Procedures

[IHOP - 05.07.05 - Policy on Integrity in Research](#)
[IHOP - 06.00.03 - Research Compliance Plan](#)
[IHOP - 06.05.01 - Research Conflicts of Interest](#)
[IHOP - 11.01.03 - Conduct of Clinical Research](#)

VIII. Additional References

<https://oir.nih.gov/sourcebook/ethical-conduct/responsible-conduct-research-training>
<https://ori.hhs.gov/rio-handbook>

IX. Dates Approved or Amended

Include origination date, dates of major or minor revisions and dates reviewed without changes.

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<i>Reviewed with Changes</i>	<i>Reviewed without Changes</i>

X. Contact Information

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