



Smithsonian
Institution

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RESPONSIBLE CONDUCT OF RESEARCH TRAINING

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1. PURPOSE

The Smithsonian Institution is committed to the ethical conduct of research that develops the many scholarly fields across the Institution and prepares current and future generations for scholarly studies in the national research community. To that end, the Smithsonian must ensure that designated staff members are aware of and receive federally mandated training in the Responsible Conduct of Research (RCR).

The purpose of this directive is to ensure that all Smithsonian staff, Fellows, volunteers, research associates and other honorary appointees ("Smithsonian staff") currently participating in research activities funded by the National Science Foundation (NSF) or National Institutes of Health (NIH) are familiar and comply with the federal regulations in RCR, and that the Smithsonian meets all requirements to ensure the Institution's continued eligibility to receive federal grants and contracts.

2. DEFINITIONS

RCR can be defined as:

The practice of scientific investigation with integrity. It involves the awareness and application of established professional norms and ethical principles in the performance of all activities related to the conduct of research in the sciences, arts and humanities.

RCR training includes the following components that should be considered throughout the entire research process:

2. DEFINITIONS (continued)

- Integrity;
- SD 103, Standards of Conduct: Conflict of Interest (whether personal, professional, or financial);
- SD 205, Research Associates;
- SD 208, Standards of Conduct Regarding Smithsonian Institution Volunteers;
- SD 606, Research Involving Human Subjects: Human subjects policy;
- SD 605, Animal Care and Use: Animal welfare policy;
- Safe laboratory practices;
- Mentor/mentee responsibilities and relationships;
- Collaborative science;
- SD 204, Evaluation Guidelines for Professional Accomplishments: Peer review;
- Data management, see IT-920-09, Data Management Planning;
- SD 604, Misconduct in Research;
- SD 806, Publication at the Smithsonian and by Smithsonian Employees; and
- Responsible authorship and publication.

3. APPLICABILITY

This directive applies to all individuals within the Institution who are currently conducting and participating in research activities funded by NSF or NIH. All other Smithsonian staff conducting research are encouraged to complete RCR online training established by the Office of the Under Secretary for Science and Research, which is available through the Research Compliance Prism website at <https://sinet.sharepoint.com/sites/PRISM2/SIOrganization/osp/Compliance/Pages/Compliance-Training.aspx>.

3. APPLICABILITY (continued)

For those working on sponsored projects, the following individuals must complete online training and provide documentation of their training to the Research Compliance Officer (RCO):

- All Principal Investigators (PIs) who receive a first-time NSF or NIH grant award
- All students, interns, or postdoctoral scholars participating in the research of an NSF- or NIH-funded project
- Principal investigators who have received NSF or NIH awards in the past and need to complete a one-time certification of their understanding of RCR upon receipt of an NSF or NIH award

Documentation of RCR training is only required once as a Smithsonian employee or associated staff member (unless a sponsor specifies otherwise). It is expected that ongoing discussions and periodic refresher training at different stages of an individual's career would be appropriate and necessary.

4. RESPONSIBILITIES

The ***Under Secretary for Science and Research*** is responsible for implementing all RCR policies and ensuring the availability of all necessary RCR training resources for Smithsonian staff. Training resources can be found through the Research Compliance internal webpage.

Unit Directors are responsible for ensuring that the appropriate individuals within their unit receive training and should encourage ongoing face-to-face discussion of RCR issues.

Principal Investigators (PIs) for NSF- and NIH-funded awards are responsible for ensuring that all students, interns and postdoctoral scholars who are members of the research project are aware of and participate in necessary training, and that all RCR training is documented and provided to the RCO for each individual working on the project.

In addition, PIs must document their own understanding of RCR, as outlined under the "Applicability" section above.

Smithsonian staff who conduct basic research activities in history, art and culture or the sciences, and which is funded by NSF or NIH are responsible for becoming familiar with and abiding by the applicable Smithsonian Directives.

The Research Compliance Officer will notify investigators of the requirements of this policy and will maintain records of completed RCR training.

5. SPECIAL REQUIREMENTS

National Science Foundation (NSF): The NSF requires that implementation of RCR training in the American COMPETES Act, under Section 7009, is enforced for all research funded through the NSF. For further guidance on NSF requirements, refer to

<https://www.nsf.gov/bfa/dias/policy/rcr.jsp>

National Institutes of Health (NIH) grants: All grants awarded in collaboration with NIH must include a plan for training in RCR. For further guidance on NIH requirements and information from the Office of Research Integrity (ORI) at the Department of Health and Human Services, refer to:

- NIH website at <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-10-019.html>
- ORI website at <http://ori.hhs.gov/ori-introduction-responsible-conduct-research>

6. REFERENCES

Additional information on various aspects of RCR may be viewed at the following websites:

- [The Smithsonian Directives Library](#)
- Lab Safety information:
https://www.sifacilities.si.edu/safety_health/docs/safety_manual/pdf%20PRISMout/ch_2_6_laboratory_safety_plans.pdf
- Smithsonian Institution Statement of Values and Code of Ethics (Ethics Advisory Board):
<https://sinet.sharepoint.com/sites/prism2/SIOrganization/OGC/Pages/Ethics.aspx>
- National Institutes of Health, Notice Number [NOT-OD-10-019](#), dated November 24, 2009, and updated April 19, 2011
- NSF RCR information: https://www.nsf.gov/pubs/policydocs/pappg20_1/index.jsp or most recent NSF Proposal & Award Policies & Procedures Guide (**PAPPG**)
- HHS RCR information: <http://ori.hhs.gov/general-resources-0>
- [SD 103, Smithsonian Institution Standards of Conduct](#)

6. REFERENCES (continued)

- [SD 204, Evaluation Guidelines for Professional Accomplishments](#)
- [SD 205, Smithsonian Institution Research Associates](#)
- [SD 208, Standards of Conduct Regarding Smithsonian Volunteers](#)
- [SD 604, Misconduct in Research](#)
- [SD 605, Animal Care and Use](#)
- [SD 606, Research Involving Human Subjects](#)
- [SD 806, Publishing at the Smithsonian Institution and by Smithsonian Employees](#)

SUPERSEDES: None.

INQUIRIES: Office of the Under Secretary for Science and Research (OUSSR)

RETENTION: Indefinite. Subject to review for currency 36 months from date of issue.
