

# Bates Student RECR Training Checklist

This checklist serves as a training record for each student who must complete training in the Responsible and Ethical Conduct of Research (RECR) training. Please refer to the Bates RECR Training Plan for additional information.

## Instructions

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- PIs are responsible for completing a copy of this checklist for each student.
- For each topic, indicate the mode by which the student received training in the identified learning objectives and the date the training was completed.
  - A mix of CITI and PI-led training is acceptable, but all topics must be covered.
- When all training is complete, sign and date at the bottom and email to [sparc@bates.edu](mailto:sparc@bates.edu)

Student Name: \_\_\_\_\_

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| <b>Research Misconduct</b>  | <b>Learning objectives</b> <ul style="list-style-type: none"><li>• State how the U.S. federal government has defined research misconduct.</li><li>• Differentiate among the three types of research misconduct: fabrication, falsification, and plagiarism.</li><li>• Identify factors that can contribute to the occurrence of research misconduct.</li><li>• Describe strategies that individuals and organizations might use to prevent or mitigate the occurrence of research misconduct.</li><li>• Describe how research misconduct allegations should be managed.</li></ul> |                        |
|                             | <b>Mode of Training</b><br><br><input type="checkbox"/> CITI training RCR Basic Research Misconduct - module 16597 (30 min)<br><br><input type="checkbox"/> PI-led training                                                                                                                                                                                                                                                                                                                                                                                                       | <b>Completion Date</b> |
| <b>Conflict of Interest</b> | <b>Learning objectives</b> <ul style="list-style-type: none"><li>• Define different types of conflicts of interest.</li><li>• Define conflict of commitment.</li><li>• Explain the reasons why conflicts of interest and commitment can be problematic.</li><li>• Discuss U.S. regulations and policies relating to financial conflicts of interest.</li><li>• Describe strategies that may mitigate or eliminate the impact of conflicts of interest.</li></ul>                                                                                                                  |                        |
|                             | <b>Mode of Training</b><br><br><input type="checkbox"/> CITI training RCR Basic Conflicts of Interest and Commitment - module 16599 (22 min)<br><br><input type="checkbox"/> PI-led training                                                                                                                                                                                                                                                                                                                                                                                      | <b>Completion Date</b> |

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| <b>Data Acquisition, Management, and Ownership</b>      | <b>Learning objectives</b> <ul style="list-style-type: none"> <li>● Identify the steps, concepts, and importance of data management throughout a research study.</li> <li>● Describe institutional support services that can help manage your research data.</li> <li>● Evaluate methodological, technological, and regulatory considerations that affect data management practices.</li> <li>● Explain the documentation needed to facilitate accessibility and reproducibility of research findings.</li> <li>● Recognize ethical and compliance issues relating to data ownership, sharing, and protection.</li> </ul> |                        |
|                                                         | <b>Mode of Training</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> CITI training RCR Basic Data Management - module 20896 (40 min)</li> <li><input type="checkbox"/> PI-led training</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                      | <b>Completion Date</b> |
| <b>Mentor/Mentee Responsibilities and Relationships</b> | <b>Learning objectives</b> <ul style="list-style-type: none"> <li>● Explain the roles and responsibilities of mentors and mentees.</li> <li>● Identify challenges that can disrupt or undermine a mentoring relationship.</li> <li>● Describe practices and strategies that support high-quality mentoring relationships and help prevent or manage conflicts between mentors and mentees.</li> <li>● Describe leadership behaviors that cultivate a psychologically healthy and supportive work environment.</li> </ul>                                                                                                  |                        |
|                                                         | <b>Mode of Training</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> CITI training RCR Basic Mentoring and Healthy Research Environments - module 20983 (75 min)</li> <li><input type="checkbox"/> PI-led training</li> </ul>                                                                                                                                                                                                                                                                                                                                                                          | <b>Completion Date</b> |
| <b>Peer Review</b>                                      | <b>Learning objectives</b> <ul style="list-style-type: none"> <li>● Discuss the history and evolution of peer review.</li> <li>● Describe different types of peer review.</li> <li>● Discuss the value of peer review as it relates to publications and grant awards.</li> <li>● Identify ethical issues associated with peer review.</li> <li>● Describe the ethical obligations of a peer reviewer.</li> </ul>                                                                                                                                                                                                          |                        |
|                                                         | <b>Mode of Training</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> CITI training RCR Basic Peer Review - module 16603 (20 min)</li> <li><input type="checkbox"/> PI-led training</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                          | <b>Completion Date</b> |

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| <b>Research Security</b> | <b>Learning objectives</b> <ul style="list-style-type: none"> <li>• Define research security within the context of your work and the research enterprise.</li> <li>• Identify the key federal government guidance impacting research security, the core values of academic research, and how undue influence threatens the research community.</li> <li>• Recognize situations that may indicate undue foreign influence and that all stakeholders contribute to research security.</li> </ul>                                                                                                                                                                                                                                                                   |                        |
|                          | <b>Mode of Training</b><br><input type="checkbox"/> CITI training RCR Research Security - module XXX (60 min)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | <b>Completion Date</b> |
| <b>Export Control</b>    | <b>Learning objectives</b> <ul style="list-style-type: none"> <li>• Identify the differences between the three primary U.S. regulatory agencies.</li> <li>• Recognize when export controls may be applicable to various research activities.</li> <li>• Evaluate actions and processes needed when export controls may be involved.</li> <li>• Identify how export controls may apply in various research agreements.</li> <li>• Understand when export controls may affect the purchasing of software, technology, and technical data.</li> <li>• Recognize CUI and the requirements for working with CUI.</li> <li>• Describe how export controls can affect international travel or shipping of export-controlled items outside the United States.</li> </ul> |                        |
|                          | <b>Mode of Training</b><br><input type="checkbox"/> CITI training Introduction to Export Compliance - module 16800 (40 min) AND<br>Export Compliance for Researchers - module 16801 (50 min)<br><input type="checkbox"/> PI-led training                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | <b>Completion Date</b> |

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| <p><b>Safe Research Environments</b><br/>(required for NIH personnel only. Recommended if applicable for NSF-supported personnel)</p> | <p><b>Learning objectives</b></p> <p>Preventing and Responding to Harassment and Bullying in Academia</p> <ul style="list-style-type: none"> <li>• Understand how our workplace cultures can promote harassment and bullying.</li> <li>• Learn how to help prevent harassment and bullying by changing your workplace culture</li> <li>• Learn how to support targets of harassment, how to report harassment, and how to find support.</li> <li>• Understand your roles and responsibilities in making our workplaces safer and more inclusive for everyone.</li> </ul> <p>-----</p> <p>If applicable: Safer Research Environments: In the Field and Off-site</p> <ul style="list-style-type: none"> <li>• Understand the harms of typical fieldwork culture</li> <li>• Understand a holistic view of field safety, including workplace culture, harassment, and diversity and inclusion.</li> <li>• Recognize how to create a safer and more inclusive field culture by creating inclusive codes of conduct and policy, developing inclusive field infrastructure and field planning, and responding to harassment and bullying.</li> </ul> |                               |
| <p><b>Ethical Responsibilities of Scientists</b><br/>(required for NIH personnel only. Recommended for all personnel)</p>             | <p><b>Learning objectives</b></p> <ul style="list-style-type: none"> <li>• The role of a scientist as a responsible member of society</li> <li>• Contemporary ethical issues in the PI's field of research</li> <li>• The environmental and societal impacts of their scientific research.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                               |
|                                                                                                                                       | <p><b>Mode of Training</b></p> <p><input type="checkbox"/> CITI training Preventing and Responding to Harassment and Bullying in Academia - module 21016 (47 min)</p> <p><input type="checkbox"/> CITI training Safer Research Environments: In the Field and Off-site - module 21017 (37 min)</p> <p><input type="checkbox"/> PI-led training</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | <p><b>Completion Date</b></p> |
|                                                                                                                                       | <p><b>Mode of Training</b></p> <p><input type="checkbox"/> PI-led training</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | <p><b>Completion Date</b></p> |

Additional training modules, including, for example, training in the ethical use of animals, ethical conduct of studies involving human research subjects, safe handling of biohazards materials may be required depending on the specifics of the project.

*[Signatures on following page]*

## Signatures

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By signing below, I certify that \_\_\_\_\_ [STUDENT NAME] \_\_\_\_\_ has completed the required RECR training as indicated.

|              |                   |
|--------------|-------------------|
| PI Name:     | Student Name:     |
| PI Signature | Student Signature |
| Date:        | Date:             |