

6. Certification Regarding Responsible Conduct of Research

Summary: Under NSF funding, grantee must complete certification that institution has a plan to provide appropriate training and oversight in the responsible and ethical conduct of research to graduate and undergraduate students and postdoctoral researchers supported by NSF.

Reference: [NSF Grant Proposal Guide](#); [NSF Award Administration Guide](#); [NIH Requirements](#) [Campuses determining NIH implementation at the campus level. No certification for NIH is required at this time.]

Guidance: For NSF requirements (January 2010):

University of California Implementation Plan for Mandatory Responsible Conduct of Research (RCR) Training for NSF-Funded Students and Postdoctoral Scholars

Regulation: Section 7009 of the America **C**reating **O**pportunities to **M**eaningfully **P**romote **E**xcellence in **T**echnology, **E**ducation, and **S**cience (COMPETES) Act (42 U.S.C. 1862o-1) as documented in the [August 20, 2009 Federal Register](#)

Requirements: Effective for applications submitted on or after January 4, 2010, the National Science Foundation (NSF) will require the proposing institution to certify that it has a plan to provide training in the responsible conduct of research (RCR) and oversight for students (undergraduate and graduate) and post-doctoral scholars who will be supported by NSF to conduct research. Plans need not be submitted with the proposals; however, plans are subject to NSF review upon request. Institutions will be further required to verify that the students and fellows have received the required training.

UC Implementation: Each of the University of California campuses and Lawrence Berkeley National Laboratories (LBNL) will use one or more of the following options to comply with the Act and will move toward developing improved RCR content for NSF trainees and more effective delivery methods in a phased approach, as time and resources permit. Each of the campuses and LBNL will be responsible for developing individual processes for verifying completion of training, as required by the Act.

- Phase I – 0– 1 year post implementation options
 - Use of 1-2 page undergraduate resource/information guide with ability to certify/track that undergraduates have read and understand the information
 - Use of existing CITI RCR modules with ability to track/verify completion (by end of project grant cycle) through CITI website
 - Creation of customized RCR models to be posted on LMS and/or CITI websites
 - Use of in-person RCR training and/or train-the-trainer sessions for faculty
- Phase II – 1 – 2 years post implementation options
 - Use of 1-2 page undergraduate resource/information guide with ability to certify/track that undergraduates have read and understand the information
 - Use of newly developed UC specific RCR modules (general and possibly discipline-specific) delivered via LMS and/or CITI website
 - Use of in-person RCR training and/or train-the-trainer sessions for faculty
- Phase III – 3+ years post implementation options

- Use of 1-2 page undergraduate resource/information guide with ability to certify/track that undergraduates have read and understand the information
- Use of newly developed UC specific RCR modules (general and possibly discipline-specific) delivered via LMS and/or CITI website
- Increased use of in-person RCR training and train-the-trainer sessions for faculty
- Development of advanced RCR online resources/courses

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