

Responsible Conduct of Research Training under NSF Grants – University of Rochester Implementation Plan

1. **Requirement:** Effective January 4, 2010, NSF requires that the proposing institution have a plan in place to provide appropriate training and oversight in the responsible conduct of research (RCR) for students (undergraduate and graduate) and post-doctoral fellows who will be supported by NSF funds. NSF requires that the grantee institution appoint one or more persons to oversee compliance with this requirement, and that institutions are responsible for verifying that students and postdoctoral fellows received the RCR training.
2. **Overall Responsibility:** The Dean of Graduate Studies for Arts, Sciences and Engineering is responsible for the implementation of RCR training, and for compliance oversight.
3. **Curriculum:** The University of Rochester (UR) will hold a one-day workshop for graduate students and postdoctoral fellows supported by NSF funds prior to the beginning of classes for the spring semester. The workshop will be a combination of short lectures and case scenarios. Each student will receive a packet of materials, including relevant journal articles, University policies and references. The workshop agenda for 2010 has been attached. The frequency of the offering will be readdressed as more NSF grants are subject to the requirement, or if the UR decides to make RCR training a requirement for all students and postdocs, regardless of funding source.

Graduate students and postdoctoral fellows supported by NSF funds, but that have already enrolled in the URCM Ethics and Professional Integrity in Research course, will not be required to participate in the one-day NSF workshop.

In lieu of the one-day workshop, undergraduate students supported by NSF funds will be required to enroll in an on-line educational tutorial offered by the Collaborative Institutional Training Initiative (CITI). See <https://www.citiprogram.org/Default.asp?>

4. **Communication:** The Dean of Graduate Studies for Arts, Sciences and Engineering will send out a communication on the NSF requirement and the UR RCR workshop to University faculty and administrators, specifically targeting NSF investigators at least on an annual basis. ORPA will notify all NSF investigators of the requirement on the internal Notice of Award for those grants that contain the requirement.
5. **Tracking and Documentation:** The Dean's office will track the participation of graduate students and postdoctoral fellows supported by NSF funds in either the one-day NSF workshop or the URCM Ethics Course via a database. Undergraduate students that enroll in the on-line tutorial will be tracked by the

Associate Dean and Director, Center for Academic Support. In addition, a notation will be included in the transcript of all graduate students stating that the student was trained in RCR. Postdoctoral fellow will receive a certificate of completion.

6. **Verification:** In order to ensure that all students and postdoctoral fellows supported by NSF funds have been trained in RCR, ORPA will request that HRMS staff run a semi-annual report of all students and postdoctoral fellows paid by NSF grants that include the RCR requirement. The Dean's office will match students paid from these grants against the database of trained students.
7. **Special Circumstances:** Students and postdoctoral fellows supported by NSF funds transferring from other institutions that have already completed RCR training at their prior institution may be exempted from RCR training if the Dean determines the training was adequate. Such exemptions will be tracked in the database.

In those cases when a student was not able to attend the RCR training, and the Dean determines that the next offered UR RCR training will not be considered timely, the student will be instructed to take an on-line tutorial that has been endorsed by NSF.

If a student or postdoctoral fellow is initially supported by NSF funds and leaves the institution within one year of receiving this support, the UR is not responsible for the RCR training of that individual.

This implementation plan will be augmented and modified as necessary.

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H:/dept/letters/gil/NSF RCR Training Implementation