Additional Information Regarding Compliance with the National Science Foundation’s RCR Requirements

National Science Foundation

Notice on the Requirement for Instruction in the Responsible Conduct of Research available at http://www.regulations.gov/search/Regs/home.html#documentDetail?R=0900006480a0e0d6

Effective Date: Policy applies to NSF proposals submitted on or after January 4, 2010


I. Institutional Basic Requirements:

1. Proposal Stage: Certify in grant proposal that institution has plan for providing appropriate training and oversight in the responsible and ethical conduct of research (“RCR Training”) for undergraduate students, graduate students and postdoctoral researchers participating in proposed project.
   a. Training plans do not have to be included in grant proposal, but they are subject to audit.

2. Scope: Covers all undergraduate/graduate students and post-docs who receive support from a NSF grant, including GK12 grants, but excluding conference grants and travel awards.

In order to meet these requirements the Office of Research Compliance (ORC) in connection with the Office of Sponsored Programs (OSP) has identified a process by which these students and Post-Docs can be provided with the requisite training.

II. The Process:

1. NSF grant proposal is submitted.
2. OSP identifies when NSF grants are approved.
3. OSP notifies ORC of the grants and the identity of the PIs.
4. ORC contacts PIs for names of students (grad/undergrads) and Post Docs associated with the NSF grant.
5. PIs provide names to ORC
6. ORC contacts students and Post Docs and provides them with training information.
7. There is a continuing obligation on the part of the PIs to notify the ORC if additional students and Post Docs are subsequently added to NSF grants.

III. Alternatives:

1. Other training methods/materials may be used by schools/departments, etc.
a. If alternatives are used, have course sign-in sheet or other method of verifying attendance and keep copy of training materials presented.
b. Suggestion: Provide training materials and trainee attendance list to ORC for maintenance in central repository.