



Responsible Conduct of Research (RCR) Policy

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POLICY

San Francisco State University (SF State) students and trainees engaged in research at the undergraduate, graduate, and post-doctoral levels are expected to receive formal instruction in ethical considerations and decision making in Responsible Conduct of Research that is appropriate for their disciplines and respective research careers. This policy is intended to comply with the following sponsoring agencies' requirements:

- National Science Foundation (NSF): implementation of the requirements of Section 7009 of the America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science (COMPETES) Act 42 U.S.C. 1862o-1 requires postdocs, graduate students, and undergraduate students funded through an NSF grant to receive instruction in the responsible conduct of research (effective date of this requirement: January 4, 2010)
- National Institutes of Health (NIH): Notice Number (NOT-OD-10-019) requires that all trainees, fellows, participants, and scholars receiving support through any NIH training, career development award (individual or institutional), research education grant, and dissertation research grant must receive instruction in responsible conduct of research. This policy will take effect with all new and renewal applications submitted on or after January 25, 2010, and for all continuation (Type 5) applications with deadlines on or after January 1, 2011. This Notice applies to the following programs: D43, D71, F05, F30, F31, F32, F33, F34, F37, F38, K01, K02, K05, K07, K08, K12, K18, K22, K23, K24, K25, K26, K30, K99/R00, KL1, KL2, R25, R36, T15, T32, T34, T35, T36, T37, T90/R90, TL1, TU2, and U2R. This policy also applies to any other NIH-funded programs supporting research training, career development, or research education that require instruction in responsible conduct of research as stated in the relevant funding opportunity announcements. (effective date of this requirement: November 24, 2009)
- USDA National Institute of Food and Agriculture (USDA - NIFA): by accepting the award, all program directors, faculty, undergraduate students, graduate students, postdoctoral researchers, and any staff participating in a research project must receive appropriate training and oversight in the responsible and ethical conduct of research (effective date of this requirement: February 2013)

DEFINITIONS

Responsible Conduct of Research (RCR) is defined by NIH, "...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 scientific research." Moreover, the NSF states that RCR is "critical for excellence, as well as public trust, in science and engineering. Consequently, education in RCR is considered essential in the preparation of future scientists and engineers."

SCOPE

San Francisco State University Responsible Conduct of Research Compliance Policy requires all undergraduate and graduate students, and post-doctoral trainees performing research on projects funded by NSF, NIH, and USDA-NIFA awards to receive training in Responsible Conduct of Research. The objectives of this training:

- Encourage best practices in the conduct of research and scientific investigations.
- Foster an ability to recognize an ethical choice and the ability to make a principled decision.
- Provide accessible educational opportunities and resources designed to help individuals meet Responsible Conduct of Research training requirements of the sponsoring agency.

It is the responsibility of the Principal Investigators to ensure that the individuals engaged in research are informed of the requirement and that the requirement has been met. Moreover, it is the responsibility of the Principal Investigator to provide mentoring in RCR through discussions of RCR topics and through oversight of individuals' research.

Compliance with the requirements for providing instruction in Responsible Conduct of Research is a responsibility of the Principal Investigator. Failure on the part of the individual to complete the necessary training and submitting the RCR Training Certification may result in a delay of the hiring process or other type of payment initiation and will result in non-compliance with agency requirements.

Compliance Unit will conduct checks of the individuals who are supported by those funds and will match against CITI records and records maintained by PI. Principal Investigators will be notified of any non-compliance. Willful non-compliance on the part of the individual after 60 days may result in termination of a funding. Moreover, non-compliance on behalf the PI will result in ORSP notifying their respective Dean.

ROLES & RESPONSIBILITIES

Office of Research and Sponsored Programs

Grant Administrator (GA)

- Ensure that PI is informed about the Responsible Conduct of Research requirement of the sponsoring agency.

Grant Support Coordinator (GSC) and Human Resources Specialist (HRS)

- Ensure that individual has provided proper prove of Responsible Conduct of Research training prior to processing any payment.

Compliance Unit (CU)

- Compliance Unit will conduct checks of the individuals and reconcile against CITI and/or documentations received from PI.

Academic Department

Principal Investigator (PI)

- Ensure that individuals engaged in research meet the funder's Responsible Conduct of Research policy either through completion of Collaborative Institutional Training Initiative (CITI) and/or through other forms of RCR training approved by the sponsoring agency.

RELATED DOCUMENTS

- [NSF's Responsible Conduct of Research](#)

- [NIH's Responsible Conduct of Research, Notice Number: NOT-OD-10-019](#)
- [USDA-NIFA's Responsible Conduct of Research](#)