



## **Responsible Conduct of Research (RCR) Policy**

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**Issued:** January 2013

**Revised:** January 2019

### **POLICY**

San Francisco State University Responsible Conduct of Research Compliance Policy requires undergraduate students, graduate students, postdocs, and participants receiving financial support (including salaries and wages, tuition, and stipend) from NSF, NIH, and USDA-NIFA 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 undergraduate students, graduate students, postdocs, and participants receiving financial support (including salaries and wages, tuition, and stipend) from 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.

Individuals must complete RCR training within appropriate time frame. Failure on the part of the individual to complete the necessary training may result in termination of financial support.

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 Unit will conduct spot check and reconcile. Principal Investigator will be notified of any non-compliance. Willful non-compliance on the part of the individual may result in termination of financial support. Moreover, non-compliance on behalf the Principal Investigator will result in ORSP notifying their respective Dean.

## ROLES & RESPONSIBILITIES

### Office of Research and Sponsored Programs

#### **Grant Administrator (GA), Grant Support Coordinator (GSC), and Human Resources Specialist (HRS)**

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

#### **Compliance Unit (CU)**

- Compliance Unit will conduct spot check and reconcile.

### 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](#)