NSF’s Responsible Conduct of Research (RCR) Requirement and Beyond

BROWN BAG
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Agenda

- The Federal Competes Act
- NSF Requirements
- RCR Standards
- Yale’s Implementation Plan
  - Graduate School of Arts and Sciences
  - Graduate School of Humanities and Social Sciences
  - Undergraduates
  - Postdoctoral Researchers
- NIH Requirements
- Resources
The Federal COMPETES Act

- Approved August 2, 2007 by the U.S. Congress to:
  - encourage people to study and teach mathematics and science
  - support research into emerging technologies and increasing funds for federal science-based organizations.
- Included was a requirement for NSF training in the Responsible Conduct of Research (RCR)
Effective January 4, 2010, NSF requires that the signing official (or Authorized Organizational Representative, AOR) must certify that the institution has a plan to provide appropriate training and oversight for the ethical conduct of research for:

- undergraduates
- graduate students
- postdoctoral researchers
NSF Requirements

- Institutions must be able to:
  - verify that these individuals who receive NSF funds (support from salary and/or stipends to conduct research on NSF grants) will receive RCR training.
Suggested RCR Standards

- Academic Fraud and Research Misconduct
- Conflict of Interest and Conflict of Commitment
- Human Subject Protections and Human Embryonic Stem Cell Research
- Use and Care of Animals
- Data Acquisition, Management, Sharing and Ownership
- Publication Practices and Responsible Authorship
- Mentor/Trainee Responsibilities
- Peer Review
- Collaborative Science
  - Suggested by NIH’s Office of Research Integrity
Yale’s Implementation Plan

- For Graduate Students enrolled in the Arts and Sciences (GSAS)
  1. Yale is requiring RCR training to all students regardless of source of funds
  2. GSAS will continue to require its current online ethics module (https://www.sis.yale.edu/pls/rce/login_c_pkg.go_to_front_door)
  3. Each discipline will include additional requirements to meet the full range of suggested standards as appropriate
• All GSAS students are required to complete a formal RCR course, in addition to the online module, during their 1st year of training

• New students, beginning in the 2010/2011, will not be permitted to register for their 2nd year unless they have completed the requirement

• Completion of the requirement will be noted on student transcripts

• Beginning 2010/2011 the course requirement will be listed in the GSAS Programs and Policies Bulletin
A common course will be offered during the 2010/2011 academic year and annually thereafter.

At this time, only students compensated from NSF awards must complete the course.

Student transcripts will record this non credit course.
Undergraduate Students

• Applies only to students compensated from NSF awards
• RCR courses will be offered beginning 6/2010:
  o First week of June
  o 2\textsuperscript{nd} week of the fall semester
  o 2\textsuperscript{nd} week of the spring semester
• If necessary, an additional course will be offered
• Undergraduates will be informed by email of the requirement
Post Doctoral Researchers

- Required beginning in the spring of 2010
- Postdocs will be informed of this training by email
- Postdocs will sign up via Yale’s Training Management System (TMS)
- The course will be offered in 8 weekly one hour sessions
- In the first year, as an alternative, researchers may meet the requirement through their departmental RCR course if approved by the Director of Postdoctoral Affairs and the Associate Dean of the Graduate School
NIH Requirements

- RCR training is required of all trainees, fellows, participants and scholars receiving training, career development award, institutional, research education grant and dissertation research grants.

- Frequency should occur throughout a scientist's career but at least once during each career stage and at a frequency no less than once every 4 years.

- Applications to the NIH in these areas lacking a plan for instruction will be considered incomplete.
Resources

- Office of Research Administration Website
  [http://www.yale.edu/researchadministration/research/index.html#guidance](http://www.yale.edu/researchadministration/research/index.html#guidance)

- AAAS/NAS Online resource

- NIH: Training in RCR
  [http://grants.nih.gov/training/responsibleconduct.htm](http://grants.nih.gov/training/responsibleconduct.htm)

- The Federal Office of Research Integrity
• NSF Frequently Asked Questions

• NSF Grant Proposal Guide

• NSF Award and Administration Guide
  http://www.nsf.gov/pubs/policydocs/pappguide/nsf10_1/aag_4.jsp#IVB