

**OSP Roundtable
October 6, 2009**

**NATIONAL SCIENCE FOUNDATION
Responsible Conduct of Research
AGENCY:** National Science Foundation
(NSF).

ACTION: NSF's Implementation of Section 7009 of the America COMPETES Act.

SUMMARY: The National Science Foundation (NSF) is announcing its implementation 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). This section of the Act requires that "each institution that applies for financial assistance from the Foundation for science and engineering research or education describe in its grant proposal a plan to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduate students, graduate students, and postdoctoral researchers participating in the proposed research project."

Implementation Plan: Effective January 4, 2010, NSF will require that, at the time of proposal submission to NSF, a proposing institution's Authorized Organizational Representative certify that the institution has a plan to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduates, graduate students, and postdoctoral researchers who will be supported by NSF to conduct research. While training plans are not required to be included in proposals submitted to NSF, institutions are advised that they are subject to review upon request. NSF will formally implement the new RCR requirement via an update to the NSF Proposal and Award Policies and Procedures Guide (PAPPG). It is anticipated that the revisions to the PAPPG will be issued on October 1, 2009. NSF also will modify its standard award conditions to clearly stipulate that institutions are responsible for verifying that undergraduate students, graduate students, and postdoctoral researchers supported by NSF to conduct research have received RCR training. In addition, NSF will support the development of an on-line RCR resource containing research findings, pedagogical materials, and promising practices regarding RCR in science and engineering. The development and evolution of the ongoing online RCR resource will be informed by the research communities that NSF supports, and it will serve as a living resource of multimedia materials that may be used to train current and future generations of scientists and engineers in RCR.

Dartmouth Plan:

CITI: Collaborative Institutional Training Initiative found at citi.org

An on-line program includes a Responsible Conduct in Research module

CITI tracks names and reports to Dartmouth (Liz Bankert)

Presentation: Liz Bankert will provide a one hour RCR program to interested departments
RCR areas specified by the Office of Research Integrity (ORI) are: data acquisition, management, sharing, and ownership; conflict of interest and commitment; human subjects; animal welfare; research misconduct; publication practices and responsible authorship; mentor/trainee responsibilities; peer review; and collaborative science.

Provost Office and OSP will send memo to NSF PI's to announce and develop OSP business plan to include notification and tracking.

Note that NSF just released the updated PAPPG, as announced on October 1, 2009. It is available on the NSF website at:
http://www.nsf.gov/pubs/policydocs/pappguide/nsf10_1/aag_index.jsp?WT.mc_id=USNSF109

B. Responsible Conduct of Research (RCR)

1. Background

The responsible and ethical conduct of research (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. 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 that "each institution that applies for financial assistance from the Foundation for science and engineering research or education describe in its grant proposal a plan to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduate students, graduate students, and postdoctoral researchers participating in the proposed research project."

The language specified below provides NSF's implementation of Section 7009.

2. Institutional Responsibilities

- a. An institution must have a plan in place to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduates, graduate students, and postdoctoral researchers who will be supported by NSF to conduct research. As noted in GPG Chapter II.C.1e, institutional certification to this effect is required for each proposal.
- b. While training plans are not required to be included in proposals submitted to NSF, institutions are advised that they are subject to review, upon request.
- c. An institution must designate one or more persons to oversee compliance with the RCR training requirement.
- d. Institutions are responsible for verifying that undergraduate students, graduate students, and postdoctoral researchers supported by NSF to conduct research have received training in the responsible and ethical conduct of research.