



OFFICE OF RESEARCH
UNIVERSITY OF CALIFORNIA, MERCED
5200 NORTH LAKE RD
MERCED, CA 95343
(209) 228-4429 FAX: (209) 228-4424

MEMORANDUM

To: UC Merced Faculty

From: The Office of the Vice Chancellor for Research

Dec 2nd, 2009

Dear Faculty,

As part of the America COMPETES (America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science) Act effective January 4, 2010, the National Science Foundation will require that all students and postdoctoral researchers who are included as research personnel on National Science Foundation awards receive training in the responsible conduct of research (RCR) within the time period of the grant. Specifically, the Act says:

SEC. 7009. RESPONSIBLE CONDUCT OF RESEARCH.

“The Director shall require 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.”

NSF IMPLEMENTATION REQUIREMENTS

“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.**”

You may find the NSF’s implementation of the Act at:

<http://research.ucmerced.edu/docs/NSF%20RCR%20FR%20Announcement.pdf>

You may find the entire Act at: <http://arpa-e.energy.gov/public/pl110-69.pdf>

NIH NOTICE ON RCR

Additionally, NIH updated its policy for instruction of trainees in the Responsible Conduct of Research. The new updated policy states:

“NIH 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.”

You may find the entire notice of the updated policy at:

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-10-019.html>

In response to this legislation and policy updates, The Office of the Vice Chancellor for Research has implemented 3 different opportunities for research personnel to obtain the required RCR training:

1. BEST/QSB294: Each fall semester an RCR course is provided that is open to all graduate students and all post-doctoral researchers. This course is a 1 unit class that takes the entire semester to cover all RCR topics in depth as well as provide a basis for graduate students to understand the academic graduate path and provide some training in grant writing. This course is taught by me and Assistant Vice Chancellor for Research Deborah Motton with numerous guest speakers throughout the semester.
2. UC Merced has contracted with the Collaborative Institutional Training Initiative (CITI) to provide online RCR training in 4 different research areas: RCR for biomedical research, RCR for research in physical science, RCR for social and behavioral research, and RCR for research in the humanities. The training is comprehensive and may take several hours to complete. Individuals only take the course that fits best with their specific field of research. You may access the introduction and instructions for taking the CITI online RCR course through our website: <http://rci.ucmerced.edu/2.asp?uc=1&lv12=73&contentid=51>.
3. The Office of the Vice Chancellor for Research will provide two half day RCR workshops each spring semester that will be open to all UC Merced faculty, staff and students. These workshops will cover all relevant RCR topics required by the Act, including, but not limited to, research with human and animals subjects, research conflicts of interest, research misconduct, authorship and publication and mentor/mentee relationships. The dates of these half day workshops are TBA. Please check our Office of Research Compliance and Integrity RCR website for the upcoming dates of the workshops: <http://rci.ucmerced.edu/2.asp?uc=1&lv12=73&contentid=51>

The Office of the Vice Chancellor for Research strongly encourages each individual to participate in **at least two** of the above activities in order to sufficiently meet the expectations of the COMPETES Act and the National Science Foundation. **NIH stipulates in its updated policy on RCR instruction that: “Instruction should include face-to-face discussions by course participants and faculty; i.e., on-line instruction may be a component of instruction in responsible conduct of research but is not sufficient to meet the NIH requirement for such instruction, except in special or unusual circumstances.”**

We will be reaching out to individual principal investigators with NSF and NIH grants to remind them that their students and personnel on those grants are required to receive RCR training from the institution.

Additionally, the Office of the Vice Chancellor for Research will gladly provide any assistance to lecturers and faculty members who would like to include RCR training or modules as a part of any ongoing training session, research meetings, or related courses.

We want to emphasize that RCR education should be a part of the training for all personnel who perform research and is a *shared* responsibility between both the institution and the faculty member who acts as an advisor, mentor, or supervisor. We strongly encourage all faculty members to have RCR education and training as an ongoing, integral part of their research program. The Office of the Vice Chancellor for Research will do its best to assist faculty members in any way, including providing resources, for the inclusion of RCR in their program.

For all questions regarding the America COMPETES Act, or RCR training in general, please contact Assistant Vice Chancellor for Research Deborah Motton, at 209-383-8655 or dmotton@ucmerced.edu

Sam Traina
Vice Chancellor for Research and
Dean of Graduate Studies
UC Merced