

<b>Policy on Responsible Conduct of Research Training</b>		
<i>Research Integrity and Compliance</i>		<b>Original Date: 01/04/2010</b>
<i>Office of Research and Sponsored Programs</i>		
<b>Reviewed by:</b>  <b>ORSP Post-Award Officer</b>	<b>Date:</b>  <b>6/2/2017</b>	<b>Revision Date: September 6, 2011</b> <b>Revision Date: July 23, 2014</b> <b>Revision Date: July 7, 2017</b>
<b>Approved by: Research Compliance Officer</b>	<b>Date:</b>  <b>7/7/2017</b>	

**Applicability:** New proposals submitted, and awards received, on or after January 4, 2010.

### **I. Introduction – Purpose and Scope**

- A. Effective January 4, 2010, the National Science Foundation (NSF) requires all funded students and postdoctoral scholars (postdocs) to undergo training in the responsible conduct of research (RCR). Any proposals submitted to NSF must certify that Montclair State University (MSU) has a training plan in place for undergraduate, graduate, and postdocs who will be supported by NSF to conduct research. Training plans are not required to be included in the proposals submitted to NSF; however, these are subject to review by NSF upon request. In addition, other funding agencies may require RCR training and thus this policy would apply.
  
- B. The plan establishes the minimum RCR training requirements for Required Individuals; key personnel, postdocs, and undergraduate and graduate students who are supported, i.e., stipend, tuition and fees, or travel support, by NSF or other federal funding requiring RCR training. The training will address RCR issues, such as proper citation of other work, plagiarism, research misconduct, intellectual property and copyright, falsification and unwarranted editing of data, conflict of interest, authorship on manuscripts, and mentor-mentee relationships.

### **II. Training**

- A. RCR training modules provided by [Collaborative Institutional Training Initiative \(CITI\)](#) will be used for RCR training. Training instructions are made available on the ORSP and Research Integrity and Compliance websites.

- B. All “Required Individuals” must complete the required RCR training within four weeks from the project start date. For students hired after the project start date, RCR training must be completed within two weeks of hire.
- C. Faculty members receiving NSF awards or awards from other federal agencies that require RCR are encouraged by MSU to complete RCR training for their own benefit and to better advise and mentor Required Individuals in dealing with RCR issues.
- D. The Compliance Officer will determine if individuals who have completed RCR training at another organization will satisfy MSU’s RCR training requirement.

### **III. Internal Procedure**

- A. Upon receiving notification of an award subject to the RCR training and after informing the PI of the award the Post-Award Officer (or designee) will input/update the shared database accessible to the Compliance Officer (or designee).
- B. The Compliance Officer will send a standardized email to the PI (with a copy to the ORSP designee) regarding both Federal and institutional RCR requirements (sections I & II, above), and guiding them to the RCR tutorial on the MSU Compliance website.
- C. The Compliance Officer will acquire from the PI a written list of the names and ID numbers for all Required Individuals supported by the award prior to the commencement of the project and any Required Individuals added to the award post commencement. The Compliance Officer will work with the PI to arrange the most reasonable and efficient strategy for moving Required Individuals through the training modules to certification.
- D. The Research Integrity and Compliance Office will track RCR tutorial completions associated with MSU through the CITI’s website on a monthly basis.
- E. The Compliance Officer will track RCR tutorial completions associated with MSU through the CITI’s website on a monthly basis. If Required Individuals paid from the grant have not completed the tutorial or received a certificate through the system, the Compliance Officer will notify the Post-Award Officer (or designee).
- F. The Compliance Officer will make a note of the date at which all faculty, staff, and students associated with the project (Required and Non-required Individuals) met certification and file the note in the shared database.
- G. On a quarterly basis, the Compliance Officer will run a report to identify Required Individuals who have not met the requirement. The PI will be contacted to follow-up with the individuals and take corrective action on the award.

#### **IV. Subawards**

- A. Subrecipients are subject to the same RCR award requirements as MSU if the prime funder is NSF or another federal agency that require RCR. A clause will be included in the subaward agreement of any NSF-funded or applicable subaward noting the RCR requirement.
- B. At the time of executing the subaward agreement, the Subrecipient will certify that they have their own policy that meets the RCR training requirement or will agree to follow MSU's policy.

#### **V. Roles and Responsibilities**

- A. Principal Investigator (PI) - The PI must ensure all Required Individuals meet the RCR training requirement. The PI must inform the Required Individuals of the requirement at the time of appointment on the applicable award and provide necessary mentorship on RCR issues.
- B. Required Individuals - Those individuals who are identified by NSF or other applicable federal agencies as required to take RCR training. This may include, key personnel, postdocs, and undergraduate and graduate students.
- C. Compliance Officer (CO) – The CO will be responsible for certifying all Required Individuals supported on an award subject to the terms and conditions stated in award have taken the required RCR training. The CO will be responsible for notifying the ORSP of any non-compliance.
- D. Office of Research and Sponsored Programs- The Post-Award Officer (or designee) will identify awards that require RCR training and will ensure applicable subaward agreements includes RCR terms and conditions.

#### **VI. Noncompliance**

Required Individuals who have not completed the RCR required training by the dates noted above shall be sent several notices by the CO reminding them of the RCR obligations. If after repeated attempts for compliance no certification has been obtained, the Required Individuals may be removed from working on the applicable award and any costs paid to those Required Individuals will be transferred from the award to an unrestricted department (i.e. Dean's, Department's) in accordance with the MSU Accounting Policies and Procedures.