

University of Hawai`i at Mānoa
Institutional Plan for Responsible Conduct of Research
Training and Oversight (NSF Implementation)

The National Science Foundation (NSF) has announced its implementation of Section 7009 of the America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Sciences (COMPETES) Act (See <http://edocket.access.gpo.gov/2009/pdf/E9-19930.pdf>). This section of the Act requires, effective January 4, 2010, that every proposal submitted to the NSF include a statement that the University of Hawai`i (UH) has a plan for the appropriate training and oversight in the responsible and ethical conduct of research and teaching. The requirement applies to all undergraduate and graduate students postdoctoral researchers who are to participate in proposed NSF-funded projects and programs. However, we encourage all members of our research community who are responsible for the design, conduct or reporting of research, regardless of the source of support, to complete these training requirements. The University of Hawai`i at Mānoa's plan to provide such training and oversight is set forth as follows:

Principal Investigator's (PI's) Responsibilities

- PIs will be responsible for ensuring that all applicable students and postdoctoral researchers obtain the proper online training within 30 days of the receipt of NSF support as well as completion of the interactive requirements within 12 months (see below).
- In accordance with NSF's mandate for each institution that accepts NSF funds to provide program oversight, PIs will be responsible for maintaining a written log of individuals completing RCR training, and provide this information upon request for all individuals supported by NSF.
- We strongly encourage NSF PIs to complete CITI's RCR training course.

On-line Module & Interactive Sessions

- The University of Hawai`i has registered with the Collaborative Institutional Training Initiative (CITI) for use of their interactive, online platform on the Responsible Conduct of Research (RCR). CITI's multi-disciplinary approach allows us to effectively achieve appropriate training among our diverse campuses, and will be used to partially fulfill NSF's requirement.
 - Instructions for use on CITI's online RCR Course:
 - Access CITI's Website:
<https://www.citiprogram.org/default.asp>
 - Follow their instructions to register as a new user, selecting the University of Hawai`i as the participating institution.
 - When registering please provide Campus affiliation, Department name, Employer/PI/Mentor's name if applicable, and a phone number contact.
 - After reading the introductory pages, select the course most appropriate for your discipline, and complete the course with

a grade of 80 or higher. Scores will be automatically recorded with Education (OVCRGE) and the Office of Research Services (ORS).

- All undergraduate students, graduate students, and postdoctoral researchers who receive new, renewal or extension of NSF support on or after January 4, 2010 will be required to complete the CITI RCR online course within 30 days of the initiation of the support. The support may be in the form of salaries, wages, facilities, supplies, or equipment financed by NSF whether provided directly to an individual or indirectly through the provision of access to facilities, equipment, supplies, and/or staff support.
- In addition to the online CITI course, individuals will be required to attend one RCR Interactive Session presented by institutional experts. Sessions will be offered at least twice a year to allow flexibility in fulfilling this requirement. An updated schedule of interactive sessions (specific requirement, date and location), will be posted on the OVCRGE website beginning early 2010. Participation in required interactive sessions must be accomplished within 12 months of acceptance of NSF support.
- Current NSF-awardees are not required to obtain RCR training; however, individuals submitting any NSF proposal seeking new support, renewal or extension of support must fulfill the above RCR training requirements.
- RCR training is valid for 4 years, after which full recertification is required.

Office of Research Services (ORS) Responsibilities

- ORS will remind PIs of the RCR requirements and their responsibilities upon notification of the awards.
- In accordance with NSF's mandate for each institution that accepts NSF funds to provide program oversight, ORS will periodically petition NSF PIs to provide a listing of personnel who are participating in the project, along with the dates that training requirements were completed.
- Monitoring of compliance, tracking and monitoring for expiration of RCR training.

Office of the Vice Chancellor for Research and Graduate Education (OVCRGE) Responsibilities

- The Assistant Vice Chancellor for Research and Graduate Education and Research Integrity Officer, is the designated Authorized Organizational Representative (AOR) for oversight of the RCR training requirement, and is responsible for certifying this institutional plan.
- Website content to be provided by the OVCRGE will include the following:
 - University policies related to RCR
 - Links to relevant/related Institutional Offices
 - Frequent updates with interactive session schedules and other related workshops
 - Links to external websites with relevant content
 - AOR Contact Information

- Assessment of training methodologies; revision of course content; survey of users.

Non-Compliance

Verification of RCR training completion, as required by NSF mandate, is the PI's responsibility. UH will implement the following oversight strategies:

- The OVCRGE and ORS will monitor the CITI's tracking and recording of course registrations and completions as well as those for the interactive component.
- ORS will maintain a RCR training database of both online and interactive sessions - and regularly cross check course registration and completion data with training records from PIs.

Non-compliance may result in serious NSF sanctions that include forfeiture of research funds and/or jeopardizing future funding opportunities from NSF and other federal sponsors.

Summary

We believe that complying with the NSF initiative will promote the responsible conduct of research and result in the perpetuation of pride, honor, and integrity at our distinguished Research and Education Institution. Indeed, in the pursuit of knowledge, we have an obligation to conduct ourselves ethically and in accordance with professional standards. It is in this spirit we encourage all researchers to participate in this opportunity for training. Our goal is to create a dynamic program of instruction that will benefit our University research community with course content frequently updated through consultation with UH Manoa Deans and Directors.

Please direct questions or comments to the Assistant Vice Chancellor for Research:

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