

Responsible and Ethical Conduct of Research (RECR)

Effective: July 31, 2023

Revision History:

June 6, 2023

Executive Summary:

The responsible and ethical conduct of research (RECR) is critical to ensuring the highest level of excellence (and confidence) in the research enterprise. Accordingly, Barnard is committed to education in RECR for its research community. This policy sets forth Barnard College's policy on RECR training, including updated requirements from the National Science Foundation effective as of July 31, 2023.

Reason for the Policy:

The purpose of this policy is to set forth Barnard College's requirements and plan to ensure researcher training on the responsible and ethical conduct of research for all National Science Foundation (NSF) and relevant National Institutes of Health (NIH) awards. This policy addresses current NSF and NIH requirements and will be amended, as needed, to address any additional agency requirements.

Policy Background

As of January 4, 2010, the NSF [requires](#) that all institutions have in place plans to ensure the responsible and ethical conduct of research (RECR) and 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." With the implementation of the [2023 Proposal and Awards Policy and Procedures Guide \(PAPPG\)](#), NSF added a requirement that principal investigators (PIs) and other senior personnel also receive training in RECR and that this training must include a segment on mentorship. This requirement is effective for new NSF awards received on or after July 31, 2023. Training plans do not have to be included in proposals submitted to NSF, but they are subject to review upon request.

NIH also requires RECR training for all trainees, fellows, participants, and scholars receiving support through any NIH training, career development, research education, or dissertation research grant as well as any other grant programs that include a training component and that require RECR instruction in the Funding Opportunity Announcement (FOA). NIH's requirement applies to all new and renewal applications submitted on or after January 25, 2010, and to all continuation applications submitted on or after January 1, 2011. For more details, see the NIH [Requirement for Instruction in the Responsible Conduct of Research](#), as well as updated guidance, [here](#).

Who is Responsible for this Policy:

The Director of Sponsored Research is responsible for implementing this policy and ensuring compliance.

Who is Governed by this Policy:

All principal investigators, senior personnel, post-doctoral researchers, graduate students, and undergraduates who participate in research funded by the National Science Foundation (NSF) or the National Institutes of Health (NIH) are governed by this policy.

Policy Statement:

Barnard College requires that **all principal investigators, senior personnel, undergraduate students, postdoctoral researchers and graduate students** who participate in NSF-sponsored research or relevant NIH training grant programs complete RECR training.

In addition to completing RECR training themselves, principal investigators (PIs) with NSF funding are responsible for ensuring that senior personnel, postdoctoral researchers, graduate students, and undergraduates involved in their NSF-sponsored research at Barnard receive appropriate RECR training.

Training should be completed within two months of a researcher's commencement of work on an NSF-funded project. Where individuals are working on NSF projects for a short time, such as the summer, training should be completed within the first week of participation.

Any trainee, fellow, participant or scholar receiving support from NIH for training, career development, research education, or dissertation research awards or any other grant program that includes a training component and that requires instruction in the FOA, must complete RECR training. To satisfy the NIH RECR training requirement, some in-person training may be required; PIs should discuss training options with the Director of Sponsored Research.

Barnard College has designated the Director of Sponsored Research to oversee RECR training compliance, which includes verifying that NSF-supported researchers and any NIH-funded researchers on awards with a relevant training component have completed RECR training.

Procedures:

RECR Training Options

Barnard College requires the completion of at least one of the following training options:

- 1) Completion of relevant on-line Collaborative Institutional Training Initiative (CITI) modules for NSF-funded researchers and any researchers on relevant NIH training grants. These can be accessed through Columbia University's [Rascal](#) system.

NSF-funded PIs should select and complete the relevant CITI courses for their research focus. Modules are available in Biomedical, Physical Sciences, Social and Behavioral, or Humanities

research. PIs are responsible for ensuring that all senior personnel also complete the relevant CITI courses. PIs and senior personnel MUST complete the modules on mentoring.

PIs should select relevant CITI courses for all student researchers associated with their NSF or NIH training grants based on their research and role(s), and inform them about how to access the training. Note: CITI courses satisfy NSF requirements, but PIs of NIH training grants may need to coordinate or provide additional in-person training. PIs who have questions about additional training should consult with the Director of Sponsored Research.

Upon completion of CITI coursework, each researcher, student or other participant must print a certificate (or generate a pdf), and PIs are responsible for submitting certificates to the Director of Sponsored Research.

- 2) Some departments have developed workshops or courses that address the responsible and ethical conduct of research. Completion of a Barnard course or workshop on RECR can satisfy the training requirements or be used to supplement CITI training.

Barnard encourages departments to consider best practices and pedagogical innovations in ethics education, such as those available at the National Academy of Engineering [website](#), or the [Online Ethics Center](#), as training resources are developed and refined.

Related Policies and Documents:

NSF website on Responsible and Ethical Conduct of Research: <https://www.nsf.gov/od/recr.jsp>

NIH 2009 Responsible Conduct of Research (RCR) Policy:

<https://grants.nih.gov/grants/guide/notice-files/not-od-10-019.html>

NIH Fiscal Year 2022 Updated RCR Guidance: <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-22-055.html>

Website for this Policy:

<https://barnard.edu/provost/research/funding-sponsored-research/forms-policies>