UMaine Responsible & Ethical Conduct of Research (RCR) Plan

Date: November 18, 2009

1. Purpose of Plan: The University of Maine recognizes and embraces its obligation to train undergraduate students, graduate students, and post-doctoral fellows in the responsible conduct of research. This plan describes how the University fulfills this obligation.

2. Goals of RCR Training:
   (a) to enhance understanding of the range of accepted practices in research;
   (b) to heighten sensitivity to and appreciation for ethical issues associated with doing research;
   (c) to improve abilities for resolving ethical conflicts; and
   (d) to increase knowledge about the laws, regulations, and policies that govern the conduct of research.

3. Design of the plan: This plan was designed in 2009 by an ad hoc Committee on RCR Training comprised of the following people:
   Scott Delcourt, Associate Dean of the Graduate School
   Professor Nancy Hall, Director of the Center for Undergraduate Research
   Charles Slavin, Dean of the Honors College
   Harlan J. Onsrud, Professor of Spatial Information Science and Engineering
   Jessica P. Miller, Associate Professor of Philosophy
   Gayle Jones, Special Assistant for Research Administration in the Office of the VPR
   Vicki Nemeth, Director of Research Administration & EPSCoR
   Michael Hastings, Director of Research and Sponsored Programs
   Wendy Eckert, Senior Officer for Research Administration & Strategic Analysis

4. Plan approval authority: The Vice President for Research

5. Effective date: January 1, 2010

6. Training Delivery: To the maximum degree possible, RCR training will be conducted in small groups designed to give trainees every opportunity to have face-to-face interaction with trainers. On-line, interactive media will be utilized only to serve trainees at remote locations who are unable to participate in on-campus training.

7. Compliance Responsibility: Principal Investigators/Project Directors (PIs/PDs) primarily are responsible for certifying that the RDR Training Plan is followed, and that the University meets its award obligations to sponsors. PIs/PDs are supported in this regard by the Office of the Vice President for Research.
PIs/PDs must document that each undergraduate student, graduate students, and postdoctoral researcher supported by an external sponsor has received the appropriate RCR training early in the first year during which they receive National Science Foundation (NSF) support. PIs/PDs will submit RCR Training Certifications to the Office of Research and Sponsored Programs, which will retain them for possible audit review.

8. The ad hoc Committee on RCR Training will review the adequacy and effectiveness of this plan between January 1 and June 30, 2011 and will make recommendations for improvement of the Plan to the vice President for Research. Committee will consider requiring RCR training for undergraduate students, graduate students, and post-doctoral fellows receiving support from sponsors other than NSF after January 30, 2011.

Signed: Michael J. Eckardt, Ph.D.
Vice President for Research
University of Maine
Date: 31 December 2009

Enc: Tabular Summary of RCR Training Plan 2009
Sample Certification Form

1Responding to: 74 Federal Register 42126 of August 20, 2009 Section 7009 of the America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science (COMPETES) Act (42 U.S.C. 1862o-1) which states, inter alia, “…each institution that applies for financial assistance from the [National Science] Foundation for science and engineering research or education shall describe in its grant proposal a plan to provide appropriate training and oversight in the responsible and ethical conduct of research {RCR} to undergraduate students, graduate students and post-doctoral researchers participating in the proposed research project.”
<table>
<thead>
<tr>
<th>Target Group</th>
<th>Form of Training</th>
<th>Topics covered/ Course Goals</th>
<th>Presenter/ Instructor</th>
<th>Course Frequency</th>
<th>Waiver Conditions</th>
<th>Training Deadline</th>
<th>Certification Deadline</th>
<th>Compliance Responsibility</th>
<th>Financing Method</th>
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<tbody>
<tr>
<td>Undergraduate</td>
<td>Option 1: Three 90 minute workshops</td>
<td>Workshop 1: The laws, regulations and policies that govern the conduct of research. Workshop 2: Human subjects, animal welfare, research misconduct. Workshop 3: Awareness of the ethical dimension in research.</td>
<td>Workshop 1: TBD Workshop 2: Gayle Jones Workshop 3: TBD</td>
<td>Up to 2 times each semester, Fall and Spring, depending on demand.</td>
<td>A waiver of training may be granted if the undergraduate can document that s/he has participated in the three workshops previously as an undergraduate.</td>
<td>Training must occur within the first 6 months of NSF sponsorship.</td>
<td>Signed certifications due in ORSP 30 days following the date of completion of training.</td>
<td>Principal Investigator/ Project Director</td>
<td>$75 Training fee paid by Undergraduates unless PI includes fee in project budget.</td>
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<tr>
<td>Undergraduate</td>
<td>Option 2: 5-week, 1 credit course (under development as of 1/1/10)*</td>
<td>To be determined</td>
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| Graduate Students & Post-Doctoral Fellows | 5-week, 1 credit course (INT 601)* | Course Goals: (1) Enhance understanding of the range of accepted practices in research. (2) Heighten sensitivity to and appreciation for ethical issues associated with doing research. (3) Improve abilities for resolving ethical conflicts. (4) Increase knowledge about the laws, regulations and policies that govern the conduct of research. | Professor Harlan Onsrud, Ph.D., L.L.D. | Up to 3 times each semester – Fall and Spring, depending on demand. | A course waiver may be granted if the graduate student or Post Doc can document that s/he has: (a) already successfully completed INT 601; or (b) successfully completed a similar course at another graduate institution. | Training must occur within the first 6 months of NSF sponsorship. | Signed certifications due in ORSP 30 days following the date of completion of training. | Principal Investigator/ Project Director | Graduate Students: Tuition Post-Doctoral Fellows: Tuition Waiver |

*If the taking of INT 601 would delay graduation, in rare, pre-approved circumstances the VP for Research may propose an alternative to INT 601, which will involve on-line CITI training coupled with documented mentoring by the student’s advisor.