

**California Institute of Technology**

**Education of NSF-Supported Student and Postdoctoral Researchers  
In the Responsible Conduct of Research**

Background and Purpose:

NSF has implemented a requirement effective January 2010 that institutions proposing support for students and postdocs certify in their proposals that the institution has a plan in place for training those students and postdocs in the responsible conduct of research. NSF's position is that the responsible and ethical conduct of research (RCR) is critical for excellence, as well as public trust, in science and engineering. Consequently, education in RCR is considered essential in the preparation of future scientists and engineers. This document represents Caltech's plan for educating NSF-supported student and postdoctoral researchers in the responsible conduct of research.

Oversight:

In order to ensure the success of Caltech's RCR program, the Vice Provost for Research is designated as the individual with overall responsibility for oversight of the program. The Vice Provost will lead a committee comprised of the Dean of Students, the Dean of Graduate Studies, the Associate Vice President for Research Administration and the Associate Vice President for Human Resources.

Plan:

Caltech will utilize the well-established Collaborative Institutional Training Initiative (CITI) Program for its training materials, and will require all NSF-supported students and postdocs to pass, which will include as a minimum the following modules:

- Research Misconduct
- Data Acquisition and Management
- Responsible Authorship and Publication
- Responsible Mentoring
- Conflicts of Interest and Commitment
- Collaborative Research

Participants' progress will be tracked and recorded with the intent that all participants complete the program by the end of the first full academic term during which they are supported by NSF funds. If a student or postdoc can document having passed a similar, qualifying program at Caltech or another institution, Caltech will accept that in place of completing Caltech's program.